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**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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# President's Report to McMaster University's Board of Governors April 20, 2023

## **Spotlight on Teaching and Learning**

As the home of problem-based learning, McMaster has long been recognized as a global leader in teaching and learning innovation. We remain committed to creating the best possible learning environment for our students, and ensuring students are equipped with the knowledge and skills needed to make a transformative impact on our world.

Since the launch of McMaster's strategic plan, we have continued to innovate in this critical area, focusing on the expansion of active, experience-based, interdisciplinary, and inclusive learning. We continue to develop innovative and varied approaches that incorporate global insights and encourage creativity, risk-taking and reflection, while embracing the digital tools and virtual learning approaches that were introduced during the pandemic.

Progress in the area of Teaching and Learning includes:

- The development of a new Teaching and Learning strategy and the appointment of a new Vice-Provost, Teaching and Learning to implement the strategy.
- The launch of the Honours Sustainable Chemistry Program, which aims to prepare students to be leaders in the zero-carbon economy. It is the first of its kind in Canada.
- The development of the Reflective Learning Framework, which helps guide and assess students throughout experiential learning opportunities. The framework has been adopted across McMaster and at other institutions of higher learning.
- The development of additional active and flexible learning spaces to ensure that our physical and virtual spaces support learning outcomes and ensure accessibility and inclusivity to meet the needs of our communities.
- 95% of students participated in at least one course with an experiential learning component upon graduation, enabling the University to leverage \$200,000 in wage subsidies and employer funding in the past year to support 450 student placements.
- More than 3,600 co-op and internship placements for undergraduate students annually.

I would like to highlight further advances in this important priority area.

## **Launch of the Indigenous Studies Department**

I'm pleased to share that McMaster has officially launched the Indigenous Studies Department, which is home to the Indigenous undergraduate program, a planned graduate program and a host of research and community-focused activities.

As Board members know, the creation of the department is an integral component of the [Indigenous Education Strategy](#), a strategic plan developed by the Indigenous Education Council and the McMaster Indigenous Research Institute, to further reconciliation and enhance the visibility and impact of the Indigenous communities on campus.

McMaster has a three-decade long record of leadership in Indigenous studies and scholarship, and is one of the longest-standing programs of its kind in Canada. Since its inception, Indigenous Studies at

McMaster has been a multidisciplinary field of study, focusing on Indigenous-centred thinking and analysis to understand the historical, social, political, and cultural aspects of Indigenous societies in Canada and around the world. It garners interest from Indigenous and non-Indigenous students alike and, as a department, will continue to expand in terms of course offerings, enrolment and faculty research programs, and in its strong community relationships to Six Nations of the Grand River.

This is a tremendously important and exciting step forward, both in supporting Truth and Reconciliation on our campus and in advancing and empowering Indigenous scholars, students and staff at McMaster.

### **The Digital Learning Strategy**

The COVID-19 pandemic necessitated significant changes to the teaching and learning environment at McMaster, but also presented important opportunities to harness new virtual and digital platforms to enhance the learning experience for our students.

To advance the use of technology as a learning tool, McMaster has developed a Digital Learning Strategy framework as part of the [Partnered in Teaching and Learning strategy](#), introduced in May 2021.

Designed to complement the face-to-face learning experience, the framework identifies the ways in which online and technology-enhanced classrooms have changed the teaching and learning environment for both educators and students. The framework provides important opportunities to improve critical digital fluency skills for instructors and students, connect them with researchers, communities, industry partners and potential employers around the globe, and prepare students for the future of work.

Developed with input from students, staff and faculty as part of an evidence-informed approach, the framework also identifies ways in which digital approaches and tools have the potential to help overcome or reduce some barriers to learning, such as inaccessible course materials, family and personal responsibilities and obligations, transportation issues, physical classroom impediments and geographic location.

Additionally, in 2021 and 2022, McMaster was awarded the maximum of \$1 million dollars through the provincial government's [Technology and Equipment Renewal Fund program](#), which is intended to help modernize postsecondary infrastructure that will support postsecondary institutions in the delivery of high-quality education. This funding has assisted in the development of digital tools and approaches to enhance student learning at McMaster.

The Digital Learning Strategy framework officially launches on May 8, and is an important step forward in equipping McMaster students with the knowledge and digital skills needed to excel in our increasingly digital learning and work environments.

### **Task Force on Generative AI Technology in Teaching and Learning**

In recent months, the emergence of generative artificial intelligence (AI) technology, such as ChatGPT, has led to many questions and concerns about how AI is, and will continue to, impact teaching, learning in higher education.

The MacPherson Institute, in partnership with the Offices of the Deputy Provost and the Vice Provost (Teaching and Learning) is forming a task force to explore the impacts of this evolving technology on teaching, assessments, and the student learning experience. This task force will include McMaster faculty, staff, and students from across disciplines. It will also include research and development projects that

examine the ways in which educators can either integrate generative AI into assessments or alter assessments to minimize the impact of generative AI. In the meantime, the MacPherson Institute has been offering workshops and consultations for faculty on generative AI including ChatGPT.

This task force will provide critical insights into how AI technologies are changing post-secondary education and how McMaster can adapt to this rapidly changing teaching and learning environment. I look forward to updating Board members as the task force develops.

### **The Partnered in Teaching and Learning Grants Program**

To support McMaster faculty in implementing the principles outlined in the Partnered in Teaching and Learning (PTL) Strategy and in the University's Strategic Framework, McMaster has launched the Partnered in Teaching and Learning grants program.

Co-developed by the Office of the Vice-Provost (Teaching and Learning) and the MacPherson Institute, the program offers two types of grants: Seed Grants, which support innovations and enhancements at the course and program level, and Garden Grants, which support interdisciplinary and Faculty-wide projects.

In the first call for applications, 31 grants totalling over \$340,000 were awarded to fund a range of highly collaborative projects. Collectively, the projects include more than 200 project team members from across campus. Eighty per cent of project teams include students as co-investigators, and more than 50 per cent of project teams are interdisciplinary and include members from two or more Faculties or central units.

Projects include:

- Research studies to implement and assess innovative teaching methods, including a study on virtual reality technology in anatomy courses.
- A cross-campus initiative to research and create a sustainable solution for hybrid meetings and classes.
- The creation of new courses and materials to enhance equity, diversity and inclusion in the classroom, including SCIENCE 2AR3 - Foundations of Science: Equity, Justice and Anti-Racism in Science, which was developed through a PTL grant and has now been approved for inclusion in the Undergraduate Calendar.
- The development of curriculum, pathways, and resources to support and encourage experiential and work-integrated learning, including a project to expand the use of collaborative online international learning to develop students' intercultural competencies.

Applications for the 2023 grants will be accepted between April 24 and June 5. This program is playing a key role in advancing McMaster's strategic priorities, and creating exciting new opportunities to enhance teaching and learning at McMaster and set our students up for success.

### **Progress Update on MacPherson Institute Review**

In 2018, McMaster undertook an [external review of the MacPherson Institute for Leadership, Innovation and Excellence in Teaching](#), which resulted in a series of recommendations to better align supports and services offered by the Institute with the needs of educators at McMaster.

In response, the Institute, under the leadership of Director Lori Goff, developed a three-year strategic plan that identified key initiatives to address recommendations from the reviewers and incorporate feedback from the teaching and learning community at McMaster. In October 2022, our Provost Susan Tighe invited the reviewers to return to McMaster to complete a progress review.

I am pleased to report that, according to that review, the MacPherson Institute has [successfully completed 51 of the 59 strategic initiatives](#), with several more still in progress. Key changes include a clear mission and mandate, streamlined program offerings, and the shift to a Faculty Liaison model of service.

The reviewers, who include representatives from the University of British Columbia, the University of Calgary and McMaster, also noted a “palpable shift” in the work environment and organizational structure at the MacPherson Institute and the “significant impact” these changes have had across the University community more broadly. As well, the reviewers identified opportunities for next steps, particularly to further defining how the MacPherson Institute will work in partnership with the Office of the Vice-Provost (Teaching and Learning).

I commend the staff and faculty at the MacPherson Institute for their responsiveness to the recommendations and for their ongoing commitment to providing our teaching and learning community with the innovative resources and supports needed to provide our students with world-class instruction and prepare them to support positive change in the world.

#### **President’s Awards for Outstanding Contributions to Teaching and Learning**

One of the most enjoyable parts of my role as President is to recognize the outstanding work and achievements of McMaster’s world-class faculty. Each year the selection committee recommends an exceptional group of educators for their exceptional innovation and commitment to student learning through the President’s Awards for Teaching Excellence.

We receive an impressive set of nominations every year, but I am particularly pleased by the number and quality of nominees being considered for this year’s awards. Since 2014, we’ve received an average of seven nominees annually. This year, we received a total of 21 nominations, representing a significant increase. Additionally, we have increased the number of awards from five to eight to recognize the incredible teaching and learning taking place at McMaster.

The strong response to our call for nominations is a testament to the value the McMaster community places on teaching excellence and reflects the caliber of teaching talent across all Faculties of the University. This year’s President’s Award recipients will be announced on the Daily News in May – I look forward to sharing the list of recipients with Board members.

#### **New Course Assessment Tool**

As part of McMaster’s ongoing commitment to support and advance innovation in teaching and learning, McMaster has moved to a new assessment platform designed to better evaluate students’ learning experiences within specific courses.

In fall of 2022, McMaster adopted Blue by Explorance, a cloud-based confidential course evaluation system based in Montreal, which has been widely adopted across many Canadian Higher Education Institutions. Using Blue by Explorance, students are asked to rate and provide feedback on their learning experience in the course, rather than simply rating the effectiveness of their instructors.

This system has already proved to be a valuable resource for improving teaching and learning practices and has been effective in providing educators and administrators with the quality data they need to incorporate student feedback into course design and improve the learning experience for McMaster students.

### **Wilson College Update**

McMaster's Wilson College for Leadership and Civic Engagement, the most comprehensive leadership college in Canada, continues to take shape.

Last month, the College's [Minor in Leadership and Civic Studies](#) – open to students from all Faculties across McMaster – was approved for inclusion in the 2023-24 Undergraduate Calendar. The Faculties of Social Sciences and Humanities have also made significant progress on the curriculum development for the Joint Honours BA in Leadership and Civic Studies and are on-track to complete the draft of the Institutional Quality Assurance Process (IQAP) proposal by early summer. The IQAP proposal is expected to go to the Senate for approval in March 2024, with the BA degree program scheduled to launch in the 2025/26 academic year.

The searches for the [College's Academic Director and Endowed Chair in Leadership and Civic Studies](#) are well underway, as is the recruitment of members to the Wilson College external advisory board and the External Director.

As well, McMaster recently retained RDH Architects, who will be working in partnership with Shoalts and Zabak Architects (SZA). Together, they will support the feasibility study and design work for the new Wilson College building, which will include a residence for students as well as academic and collaborative spaces. RDH will conduct the feasibility study over the summer in collaboration with internal working groups, composed of staff and faculty from Social Sciences and Humanities and other University departments. The building is anticipated to be ready for occupancy by Wilson College students, staff and faculty in 2026.

These updates represent important progress toward McMaster's goal of educating the next generation of leaders who can anticipate and address complex challenges and work across the public, private and non-profit sectors to make a transformative impact on Canada and the world.

### **Accessibility in Teaching and Learning**

To ensure that McMaster is providing students with accessible, inclusive learning environments and that the University is meeting the diverse educational needs of our students with disabilities, McMaster is developing a five-year Teaching and Learning Accessibility Roadmap, underpinned by AODA Postsecondary Education Standard (AODA PSE) final recommendations.

The development of the roadmap will be led by the Vice-Provost (Teaching and Learning) in collaboration with Faculties and administrative units across the University. The roadmap will reduce the reliance on the individualized accommodations system and will focus on improving educational and academic outcomes for McMaster students with disabilities through a holistic, systemic approach.

The development of this roadmap is funded through the Strategic Excellence and Equity in Recruitment and Retention (STEER/R) Program, which is intended to advance the pursuit of inclusive excellence by making seed funding available for transformative initiatives that benefit equity-deserving groups at McMaster.

Th roadmap is an important step forward in reimagining McMaster's teaching and learning spaces and practices to enhance accessibility, enable academic excellence, and foster a sense of belonging for current and new generations of students with disabilities.

## **Teaching and Learning Month**

As part of ongoing efforts to cultivate a campus environment where learning deeply matters and teaching is valued and recognized across the McMaster community, McMaster is hosting its fourth annual Teaching and Learning Month this May.

Led by the MacPherson Institute in collaboration with a number of campus partners, Teaching and Learning Month includes a series of events and activities that bring together educators, faculty members, instructors and staff from across McMaster. Events include professional development opportunities, as well as celebrations of teaching and learning through a variety of programming.

In past years, Teaching and Learning Month events have been highly successful in engaging faculty across campus. Last year, 13 campus partners contributed a total 41 events over the course of the month, which reached more than 450 educators at McMaster.

This initiative is an important opportunity to strengthen McMaster's teaching and learning community and highlight the innovative approaches to teaching and learning developed by McMaster's exceptional teaching faculty.

## **CAMPUS UPDATES**

### **INCLUSIVE EXCELLENCE**

#### **[McMaster named top Diversity Employer for fifth consecutive year](#)**

For the fifth consecutive year, McMaster University has been ranked one of Canada's best Diversity Employers in an annual competition that recognizes organizations with successful workplace diversity initiatives. This comes on the heels of McMaster also being named as one of Canada's Top Employers, ranking 13th overall. The Forbes ranking is created by surveying 12,000 Canadians about their workplace. McMaster has also been recognized as a top employer in the Hamilton-Niagara region for the 7th consecutive year.

#### **[Just keep going: Defense Minister Anita Anand and AVP Equity & Inclusion Sonia Anand talk leadership and resilience](#)**

The sisters spoke about leadership, resilience and their family history at an International Women's Day fireside chat organized by the Academic Women's Success and Mentorship committee.

#### **[New McMaster student award aims to elevate women in STEM](#)**

McMaster graduate Aquila Islam was a trailblazing physicist, educator and researcher. Pakistan's first woman to earn a PhD in nuclear physics, she spent her lifetime paving a path for the next generation of women in science. In honour of her legacy, a new fund at McMaster aims to continue to inspire and elevate women in Science, Technology, Engineering and Mathematics (STEM).

### **RESEARCH AND SCHOLARSHIP**

#### **[McMaster satellite lifts off from Kennedy Space Center](#)**



A satellite designed and built by McMaster students and researchers has successfully launched into space on board a SpaceX Falcon 9 rocket. For the NEUDOSE team members on hand in Florida to watch their satellite take flight in person, the overwhelming feeling was one of pure excitement – and relief. Eight years of long nights and hard work had finally paid off. The satellite, called NEUDOSE, was launched from the historic Kennedy Space Center at 8:30 p.m. on March 14 as part of NASA’s 27th commercial resupply mission. Its next destination: the International Space Station (ISS).

The launch of the NEUDOSE satellite was covered by every major print and broadcast outlet in Canada, generating more than 475 broadcast mentions and 125 print stories that reached more than 20 million people.

#### [McMaster scientist wins prestigious award for superbug research](#)

McMaster University’s Lori Burrows is the recipient of a major national award for her research into drug-resistant infections, a global health crisis that kills more than one million people every year. The Canadian Association for Clinical Microbiology and Infectious Diseases (CACMID) has named Burrows the recipient of its 2023 John G. FitzGerald Award for her lab’s research into *Pseudomonas aeruginosa*, a ubiquitous drug-resistant pathogen that causes pneumonia and other hospital-acquired infections.

#### [One industry’s waste is another’s green product](#)

For DeGroote School of Business marketing professor Devashish Pujari, sustainable packaging goes well beyond getting rid of single-use plastics. Part of an interdisciplinary research team, Pujari is currently investigating how companies can move to a circular economy model, in which nothing goes to waste. Pujari and his team are examining how they can turn food waste from food processing industries into sustainable, bio-based packaging.

#### [Candida auris: What’s known about the rapid spread of the drug resistant fungus](#)

*Candida auris* (*C. auris*), an emerging fungus and serious global health threat, spread at an “alarming rate” in U.S. health care centres throughout 2020 and 2021 according to the Centers for Disease and Control Prevention (CDC). The fungus can be difficult to identify, spreads easily and can cause severe and sometimes lethal bloodstream infections, particularly among those with serious medical problems. Jianping Xu, a Faculty of Science Research Chair in Understanding Fungal Threats to Humans and member of the Global Nexus for Pandemics and Biological Threats, explains what researchers know about the fungus and how it may be spreading so quickly.

#### [McMaster, Terumo and AtomVie Global Radiopharma Inc. partner to manufacture medical devices for cancer treatment](#)

McMaster University, Terumo and AtomVie Global Radiopharma Inc. (AtomVie) have partnered to produce two medical devices used for the treatment of cancer. Composed of radioactive holmium-166 microspheres, QuiremSpheres™ and QuiremScout™ are used in Selective Internal Radiation Therapy (SIRT) to treat liver cancer. Last month, McMaster manufactured its first patient dose on behalf of Terumo. The microspheres were irradiated in the McMaster Nuclear Reactor and then processed and dispensed in a hot lab at the McMaster University Medical Centre. The product was shipped to a hospital in Europe and successfully used in a patient procedure.

### [Paul McNicholas received Dorothy Killam Fellowship for statistics and research on autism](#)

McMaster University professor Paul McNicholas has been awarded a Dorothy Killam Fellowship for his research on identifying developmental trajectories of children on the autism spectrum. The Killam Prize and Dorothy Killam Fellowships program, run by the National Research Council of Canada supports scholars of exceptional ability, granting them time to pursue research projects of broad significance and widespread interest. McNicholas' fellowship, one of eight awarded nationally, is valued at \$160,000 over two years. McNicholas is a globally-renowned expert in the development of statistical and machine learning methods to analyze large and complex data sets.

### [McMaster pilot creates one-stop shop for research support](#)

A team of experts has come together under one virtual roof to help ensure those involved in research at McMaster University have access to the digital tools, services, and supports that they need. The Digital Research Commons Pilot is a three-year project that will recommend how McMaster can create a more connected, capable, and user-focused approach to digital support for research. The goal of the pilot is to improve access to systems, services, software, and training for researchers across the institution.

## **ENGAGING LOCAL, NATIONAL, INDIGENOUS AND GLOBAL COMMUNITIES**

### [Students bring bright ideas and solutions to inaugural sustainability pitch competition](#)

Sixty-five plus innovative student thinkers teamed up to share their bright ideas and solutions to a number of local and global challenges this week at McMaster's first Sustainability Development Goals (SDG) pitch competition. Three winning teams took home \$2,000 in prizes each. The competition, which was open to all McMaster students, had 21 teams of two to six students from all six Faculties sharing three-minute pitches that tackled one of three challenges, each aligned with the United Nations' Sustainable Development Goals.

### [Building a digital community of global entrepreneurs](#)

From Brazilian women to aging sex workers in Kenya and other marginalized persons, Benson Honig has provided entrepreneurial training across the globe. Now, Honig is taking a virtual incubator to Kenya to encourage new business opportunities for the region's multigenerational refugees and to promote cross-global engagement using enhanced digital techniques.

### [The Celestial Bear: Planetarium show explores Indigenous legend of our night sky](#)

The popular Celestial Bear show returns to McMaster's planetarium for several sold-out shows this week as part of the launch celebrations for the department of Indigenous Studies.

## **OPERATIONAL EXCELLENCE**

### [McMaster welcomes a new director of sustainability](#)

Green energy and sustainability expert Dave Cano has been appointed McMaster's Director of Sustainability. In this leadership position, Cano will play an essential role in executing important initiatives, developing ambitious targets and defining key metrics related to McMaster's inaugural, campus-wide Sustainability Strategy. Cano brings his experience as a sustainability leader with the Town of Oakville and Western University and holds a master's degree in environment and business.

### [New geothermal green energy system on campus](#)

McMaster will heat the new campus greenhouse with emissions-free geothermal energy, and is exploring multiple locations on campus for future geothermal sites. The new greenhouse will be the first building on campus to use a sustainable geothermal system to fully heat and cool the building. The greenhouse is under construction in front of the Life Sciences Building. It will be the second geothermal system on campus, adding to the one that primarily supports clean energy research in the Gerald Hatch Centre.

### [Sustainability at McMaster](#)

As we count down to Earth Day, the Daily News is sharing stories about how McMaster is transforming our campus into a living laboratory for sustainability.

## **ANNOUNCEMENTS AND ACCOLADES**

### [Ontario invests \\$6.8 million to expand McMaster's nuclear capacity](#)

The Ontario government announced \$6.8 million in the provincial budget to strengthen the research capacity at the McMaster Nuclear Reactor (MNR), a leading supplier of medical isotopes used in breakthrough cancer treatments. The investment, spread over three years, is part of the University's \$25 million project to optimize operations of the nuclear reactor to 24 hours a day, five days per week, and increase the diversity and amount of isotopes produced.

### [Provincial budget increases physician training at McMaster's medical school](#)

The 2023 provincial budget includes new funding to expand the training capacity at McMaster University's Michael G. DeGroot School of Medicine, helping to build a stronger and more resilient health care system, as announced by Premier Doug Ford on March 30, 2023. The province committed to funding new undergraduate medical school seats and postgraduate medical training seats at Ontario schools, including the Michael G. DeGroot School of Medicine where the announcement was made.

### [McMaster ranked one of the world's top 50 universities for life sciences and medicine](#)

McMaster has once again been recognized as one of the world's top 50 universities for the study of life sciences and medicine, according to the 2023 QS World University Rankings by Subject. Ranking 48th in the world and fourth in Canada for life sciences and medicine, McMaster also saw significant growth in the areas of engineering and technology, natural sciences and social sciences and management.

### [McMaster students, researchers, community advocate honoured as women of distinction](#)

Five highly accomplished people with strong McMaster connections were among the honorees at the YWCA Hamilton's annual Women of Distinction awards ceremony, held on March 2. Professors Sonia Anand and Natasha Johnson, researcher Shaila Jamal and community organizer Marybeth Leis Druery were all named Women of Distinction, and integrated biomedical engineering and health sciences program student Shayna Earle was recognized as this year's Young Trailblazer.

**REPORT TO THE SENATE**  
**FROM THE**  
**COMMITTEE ON APPOINTMENTS**

**Open Session (Regular)**

On April 12, 2023, the Committee on Appointments approved the following recommendations and now recommends them to Senate for approval:

- i. Terms of Reference**
  - a. Revised Terms of Reference – Associate Vice-President (Equity and Inclusion)**

It is now recommended,


**that Senate approve, for recommendation to the Board of Governors, the revised terms of reference for the Associate Vice-President (Equity and Inclusion), as circulated.**

**SENATE: FOR APPROVAL**  
**May 17, 2023**

## MEMORANDUM

March 31, 2023

TO: Senate Committee on Appointments

FROM: Dr. Susan Tighe   
Provost & Vice-President Academic

RE: **Recommendation to revise the Terms of Reference for Associate Vice-President (Equity and Inclusion)**

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When initially approved by Senate and the Board of Governors in 2017, the Terms of Reference for the inaugural equity and inclusion leadership position was for an academic appointment with the title of Vice-Provost (Equity and Inclusion). During the 2017 search, it became clear that the position could also be held by a skilled and experienced non-academic equity practitioner and the Terms of Reference was revised in 2018 to Associate Vice-President (Equity and Inclusion).

To ensure as broad of a search as possible and to attract the most qualified applicants, the 2022 call for a new equity and inclusion leader was open to both academic and non-academic candidates. A successful faculty candidate would be titled Vice-Provost (Equity and Inclusion) and a successful non-academic candidate would be titled Associate Vice-President (Equity and Inclusion). The scope and responsibility of the positions would otherwise be identical. The differing titles would only be reflective of the individual's background and would align with other academic and non-academic leadership roles in the Office of the Provost.

The revisions to the Terms of Reference are shown as tracked changes on the Associate Vice-President (Equity and Inclusion) version and can be summarized as follows:

- Title – The position is noted as Associate Vice-President / Vice-Provost (Equity and Inclusion).
- Housekeeping – Several positions in the Office of the Provost have had title changes and are updated.
- Term – The requirements for the positions as well as the appointment length are noted.

**I am writing to request that the Senate Committee on Appointments approve, for recommendation to Senate and the Board of Governors, the revised Terms of Reference for the position of Associate Vice-President / Vice-Provost (Equity and Inclusion).**

Attachments (2)

1. Revised Terms of Reference for the position of Associate Vice-President / Vice-Provost (Equity and Inclusion)  
– track changes

- ii. Revised Terms of Reference for the position of Associate Vice-President / Vice-Provost (Equity and Inclusion)  
– clean copy

## I. Revised Terms of Reference - track changes

### **Associate Vice-President (Equity and Inclusion) – for non-academic appointments** **Vice-Provost (Equity and Inclusion) – for academic appointments**

#### **Primary Purpose of the Position:**

The Associate Vice-President / Vice-Provost (Equity and Inclusion) is a senior administrator with University-wide responsibilities. Reporting to the Provost and Vice-President (Academic), this role has over-arching responsibility for the promotion, development, coordination and support of initiatives related to equity, diversity, and inclusivity across the Institution. The Associate Vice-President / Vice-Provost (Equity and Inclusion) has a broad, proactive mandate to identify and address campus-wide systemic issues; play a central role in education and awareness-raising initiatives; support the development and implementation of relevant policies and processes, including those for the handling of concerns and complaints; provide expertise, insight, advice and assistance across the Institution on matters of equity, diversity and inclusivity; and ensure a visible presence for and sustained focus on these issues in order to infuse the values of equity, diversity and inclusivity into the day to day work of the University. The work of the Associate Vice-President / Vice-Provost (Equity and Inclusion) is expected to advance the University's commitment to building an inclusive community, and foster a culture which embraces and promotes respect, equity and fairness, and celebrates the rich diversity of the campus community.

#### **Accountability and Partnerships:**

The Associate Vice-President / Vice-Provost (Equity and Inclusion) is accountable to the Provost and Vice-President (Academic) and works closely with the Vice President (Research), the ~~Vice Provost (Faculty) Deputy Provost~~, the AVP (Students and Learning) & Dean of Students, the Vice Provost and Dean of Graduate Studies, the AVP (Academic) in the Faculty of Health Sciences, the Faculty Deans, and the Assistant Vice-President and Chief Human Resources Officer, as well as with other members of the senior administration with regard to matters of equity, diversity and inclusivity. The Associate Vice-President / Vice-Provost (Equity and Inclusion) directly oversees the Equity and Inclusion Office and supports and sustains the work of the President's Advisory Committee on Building an Inclusive Community (PACBIC), the Indigenous Education Council (IEC), and the McMaster Accessibility Council (MAC).

#### **Key Responsibilities:**

1. Strategic Leadership
  - a. Take leadership responsibility for developing and maintaining a university equity plan, including ensuring that this plan meets the requirements imposed by major external funding bodies such as the tri-Council agencies.
  - b. Provide vision and leadership across the Institution for equity-focused initiatives. Working in close collaboration with key members of the senior administration, identify and develop strategies to address systemic issues, support equity-seeking groups, and promote diversity throughout the campus community.
  - c. Working in close collaboration with the AVP (Students and Learning) & Dean of Students, the Vice Provost and Dean of Graduate Studies, and the Faculty

Deans, as well as with PACBIC, MAC and the IEC, identify the barriers to post-secondary education facing particular groups (including members of Indigenous and racialized communities, faith-based and LGBTQ+ community members and persons with disabilities), and support the development of pathways, strategies and policies intended to address such barriers.

- d. Partner with the Indigenous community at McMaster to embrace and implement the recommendations of the Truth and Reconciliation Commission of Canada Final Report.
- e. Work closely with the Vice President (Research) and Faculty Deans to ensure that selection processes for prestigious positions (e.g. CRCs and CERCs) as well as nominations for prestigious awards (e.g. FRSC) use processes that address issues of equity and diversity.
- f. Support the work of the AVP and Chief Human Resources Officer in developing and implementing strategies and policies to advance and support employment equity across the University, as well as the work of the ~~Vice Provost (Faculty)~~ Deputy Provost in supporting the recruitment and development of faculty members.
- g. Provide leadership, guidance and advice to advance McMaster as an inclusive community, and to support the University's proactive engagement in creating a positive, respectful and inclusive culture and climate throughout the Institution.

## 2. Promotion and Support of Equity and Diversity

- a. Work with units across the University to foster a culture of respect and inclusivity, oversee the development of equity initiatives intended to promote an understanding of diversity, raise awareness of historically marginalized groups, , and incorporate an anti-oppressive framework.
- b. Working closely with the faculty Co-Chair, ~~act as Co-Chair~~ of the President's Advisory Committee on Building an Inclusive Community, ensuring that issues identified by the Committee are taken up and communicated within the senior administration, and that appropriate strategies to enhance equity and diversity are developed and implemented.
- c. Support the work of the Indigenous Education Council, acting as an important liaison with the Council from the senior administration, supporting their work and assisting in the advancement of Indigenous communities and initiatives across the University.
- d. Support and assist the work of the McMaster Accessibility Council, taking up the recommendations of the Council and working with the Provost and Vice-President (Academic) and Vice-President (Administration Operations and Finance) to ensure the University's adherence to AODA Accessibility Standards.

## 3. Guidance and Advice

- a. Provide leadership, guidance and support to members of the senior administration and others on emerging issues, opportunities and challenges with regard to equity- related issues, and matters of campus climate, acting as



the key point of contact with regard to such matters for members of the internal and external communities.

- b. Provide support and assistance in the implementation of equity-focused initiatives across the University incorporating input from equity-seeking campus groups and organizations.
- c. Ensure the building of positive, safe, and constructive relationships with other University groups, units and offices engaged in such initiatives (including Human Resources Services, Ombuds Office, MSU Diversity Services, Student Affairs, Security Services and the Faculty of Health Sciences Professionalism Office) to ensure the sharing of best practices across the University.
- d. Represent McMaster externally and build networks with peers at other institutions across Canada and elsewhere in order to build relationships and engage in a community of best practice with regard to the promotion of equity and diversity.

#### 4. Dispute Resolution and Complaint Handling

- a. Oversee the work of dispute resolution and complaints handling, including direct supervision of the Director, Human Rights and Dispute Resolution. The office has responsibility for handling all concerns, complaints and issues brought forward, including complaints of discrimination, harassment and sexual violence, ensuring the provision of timely advice and responses, the availability of effective counselling, support, mediation, and alternative dispute resolution services, and ensuring an effective process for the conduct of formal investigations when required.
- b. Ensure collaboration with colleagues in Human Resources Services, the Faculty of Health Sciences Professionalism Office, Student Support and Case Management, the University Secretariat, and other offices and senior administrators as appropriate, to ensure a consistent approach to the handling of complaints, and the effective implementation of policies and practices related to human rights and equity-related issues across the Institution.

#### 5. Policy Advice, Training and Reporting

- a. Monitor legislative and policy developments in areas related to equity, human rights, sexual violence, and accessibility, and provide advice and support on the development and effective implementation of appropriate policies and strategies to ensure institutional compliance with legislative and reporting requirements.
- b. Collaborate with colleagues in Human Resources Services, the Faculty of Health Sciences Professionalism Office, the University Secretariat, and other offices and senior administrators as appropriate, to provide a training program and to raise awareness of human rights and equity-related policies, practices and legislative requirements throughout the Institution, including the University's policies related to discrimination and harassment, sexual violence, accessibility, and occupational health and safety, support the effective implementation of relevant policies, and ensure that members of the senior administration and persons in authority have a thorough understanding

of relevant processes and responsibilities under relevant policies and/or legislation.

- c. Ensure pan-University statistical data is collected and maintained, recording the numbers of concerns brought forward, disclosures made, complaints dropped or withdrawn, informal resolutions effected and formal complaints pursued under the University's discrimination and harassment and sexual violence policies, and provide anonymized annual statistical reports to the University's governing bodies, including an analysis of such data and identifying areas or issues of repeated concern.

**Specific Accountabilities:**

- a. Provide overall leadership and direction to the Equity and Inclusion Office in a manner that is consistent with the strategic direction of the University, developing short-term and long-term strategic plans.
- b. Lead, engage and inspire a team of Equity and Inclusion professionals. Ensure the ongoing development of staff and provide for an effective and productive work environment.
- c. Support and sustain the work of the President's Advisory Committee on Building an Inclusive Community (PACBIC), the Indigenous Education Council (IEC), and the McMaster Accessibility Council (MAC).

**Term of Office:**

The position of Associate Vice-President (Equity and Inclusion) shall be held by a qualified non-academic equity practitioner on a continuing appointment.

The position of Vice-Provost (Equity and Inclusion) shall be held by a qualified faculty member, appointed by the Senate and Board of Governors for a five-year, renewable term.

## II. Revised terms of reference - clean copy

### **Associate Vice-President (Equity and Inclusion) – *for non-academic appointments*** **Vice-Provost (Equity and Inclusion) – *for academic appointments***

#### **Primary Purpose of the Position:**

The Associate Vice-President / Vice-Provost (Equity and Inclusion) is a senior administrator with University-wide responsibilities. Reporting to the Provost and Vice-President (Academic), this role has over-arching responsibility for the promotion, development, coordination and support of initiatives related to equity, diversity, and inclusivity across the Institution. The Associate Vice-President / Vice-Provost (Equity and Inclusion) has a broad, proactive mandate to identify and address campus-wide systemic issues; play a central role in education and awareness-raising initiatives; support the development and implementation of relevant policies and processes, including those for the handling of concerns and complaints; provide expertise, insight, advice and assistance across the Institution on matters of equity, diversity and inclusivity; and ensure a visible presence for and sustained focus on these issues in order to infuse the values of equity, diversity and inclusivity into the day to day work of the University. The work of the Associate Vice-President / Vice-Provost (Equity and Inclusion) is expected to advance the University's commitment to building an inclusive community, and foster a culture which embraces and promotes respect, equity and fairness, and celebrates the rich diversity of the campus community.

#### **Accountability and Partnerships:**

The Associate Vice-President / Vice-Provost (Equity and Inclusion) is accountable to the Provost and Vice-President (Academic) and works closely with the Vice President (Research), the Deputy Provost, the AVP (Students and Learning) & Dean of Students, the Vice-Provost and Dean of Graduate Studies, the AVP (Academic) in the Faculty of Health Sciences, the Faculty Deans, and the Assistant Vice-President and Chief Human Resources Officer, as well as with other members of the senior administration with regard to matters of equity, diversity and inclusivity. The Associate Vice-President / Vice-Provost (Equity and Inclusion) directly oversees the Equity and Inclusion Office and supports and sustains the work of the President's Advisory Committee on Building an Inclusive Community (PACBIC), the Indigenous Education Council (IEC), and the McMaster Accessibility Council (MAC).

#### **Key Responsibilities:**

1. Strategic Leadership
  - a. Take leadership responsibility for developing and maintaining a university equity plan, including ensuring that this plan meets the requirements imposed by major external funding bodies such as the tri-Council agencies.
  - b. Provide vision and leadership across the Institution for equity-focused initiatives. Working in close collaboration with key members of the senior administration, identify and develop strategies to address systemic issues, support equity-seeking groups, and promote diversity throughout the campus community.
  - c. Working in close collaboration with the AVP (Students and Learning) & Dean of Students, the Vice Provost and Dean of Graduate Studies, and the Faculty

Deans, as well as with PACBIC, MAC and the IEC, identify the barriers to post-secondary education facing particular groups (including members of Indigenous and racialized communities, faith-based and LGBTQ+ community members and persons with disabilities), and support the development of pathways, strategies and policies intended to address such barriers.

- d. Partner with the Indigenous community at McMaster to embrace and implement the recommendations of the Truth and Reconciliation Commission of Canada Final Report.
- e. Work closely with the Vice President (Research) and Faculty Deans to ensure that selection processes for prestigious positions (e.g. CRCs and CERCs) as well as nominations for prestigious awards (e.g. FRSC) use processes that address issues of equity and diversity.
- f. Support the work of the AVP and Chief Human Resources Officer in developing and implementing strategies and policies to advance and support employment equity across the University, as well as the work of the Deputy Provost in supporting the recruitment and development of faculty members.
- g. Provide leadership, guidance and advice to advance McMaster as an inclusive community, and to support the University's proactive engagement in creating a positive, respectful and inclusive culture and climate throughout the Institution.

## 2. Promotion and Support of Equity and Diversity

- a. Work with units across the University to foster a culture of respect and inclusivity, oversee the development of equity initiatives intended to promote an understanding of diversity, raise awareness of historically marginalized groups, , and incorporate an anti-oppressive framework.
- b. Working closely with the faculty Co-Chair of the President's Advisory Committee on Building an Inclusive Community, ensuring that issues identified by the Committee are taken up and communicated within the senior administration, and that appropriate strategies to enhance equity and diversity are developed and implemented.
- c. Support the work of the Indigenous Education Council, acting as an important liaison with the Council from the senior administration, supporting their work and assisting in the advancement of Indigenous communities and initiatives across the University.
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## 3. Guidance and Advice

- a. Provide leadership, guidance and support to members of the senior administration and others on emerging issues, opportunities and challenges with regard to equity- related issues, and matters of campus climate, acting as the key point of contact with regard to such matters for members of the internal and external communities.

- b. Provide support and assistance in the implementation of equity-focused initiatives across the University incorporating input from equity-seeking campus groups and organizations.
- c. Ensure the building of positive, safe, and constructive relationships with other University groups, units and offices engaged in such initiatives (including Human Resources Services, Ombuds Office, MSU Diversity Services, Student Affairs, Security Services and the Faculty of Health Sciences Professionalism Office) to ensure the sharing of best practices across the University.
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- c. Ensure pan-University statistical data is collected and maintained, recording the numbers of concerns brought forward, disclosures made, complaints dropped or withdrawn, informal resolutions effected and formal complaints pursued under the University's discrimination and harassment and sexual violence policies, and provide anonymized annual statistical reports to the University's governing bodies, including an analysis of such data and identifying areas or issues of repeated concern.

**Specific Accountabilities:**

- a. Provide overall leadership and direction to the Equity and Inclusion Office in a manner that is consistent with the strategic direction of the University, developing short-term and long-term strategic plans.
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May 10, 2023

**TO:** Senate

**FROM:** Andrea Thyret-Kidd  
University Secretary

**SUBJECT: Update on Vice-President University Advancement Terms of Reference**

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After the April Senate meeting and further review, it was confirmed that the terms of reference for the Vice-President University Advancement were incorrectly presented to the Senate Committee on Appointments and Senate. These terms of reference are for an administrative position and require approval by the Board Human Resources Committee. They were approved on April 27, 2023.

Cc D. Farrar, Senate Chair

# 2021-2022

## Annual Report: McMaster Research Ethics Board



Dr. Violetta Igniski  
Chair, McMaster Research Ethics Board  
June 30, 2022  
[igneski@mcmaster.ca](mailto:igneski@mcmaster.ca)



## Executive Summary

The McMaster Research Ethics Board (MREB), in cooperation with the Hamilton Integrated Research Ethics Board (HiREB), is responsible for ensuring that research involving humans carried out by McMaster faculty, students and staff is in compliance with Canada's Tri-Council Policy Statement (TCPS): *Ethical Conduct for Research Involving Humans*. MREB reviews most human participant research outside of the Faculty of Health Sciences (FHS), with HiREB reviewing FHS research and some research from the other Faculties.

In 2021-2022, MREB, its Student Research Ethics Committees (SRECs), and the MREB Ethics Office processed 316 new applications, and 180 amendments, for a total of 496 submissions. In addition, MREB's activities over 2021-2022 included: on-going systems development, the provision of educational opportunities for McMaster researchers, training and professional development opportunities for MREB members and personnel, promotional activities, and improvements to the review and administration of protocols.

June 30, 2022

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## Mandate and Role of the McMaster Research Ethics Board

The McMaster Research Ethics Board (MREB), created by the President's Council in 1974, is an autonomous entity within McMaster University charged with reviewing non-FHS research to ensure the safety and well-being of human participants involved in research carried out by McMaster faculty, students, and personnel. McMaster University mandates its Research Ethics Boards (REBs) to ensure that all research investigations involving humans are in compliance with Canada's Tri-Council Policy Statement on the *Ethical Conduct for Research Involving Humans*. MREB is responsible for educating the University community on non-medical research ethics involving human participants and setting University policies with respect to non-medical research involving human participants. Board members represent a broad range of disciplines and faculties, particularly those in which research with humans takes place. Board membership includes at least one member knowledgeable in ethics, and at least one community member with no affiliation with the university, per TCPS requirements.

## How the McMaster Research Ethics Board Works

MREB's guiding principles are based on the Tri-Council Policy Statement (TCPS) on the *Ethical Conduct for Research Involving Humans*, as well as McMaster University's *Research Involving Human Participants Policy Statement*. To ensure the adequate review of research ethics protocols and the continual education of MREB members, MREB convenes face-to-face, once a month, from September to June, with a pause during the summer months unless additional meetings are required. Board membership and the establishment of quorum adhere to TCPS requirements, with MREB having the additional requirement of 40% of the membership present for a full-board review of a protocol. Minutes of meetings are recorded and approved by the REB. Discussions and minutes are kept confidential. During COVID-19 restrictions the Board has been meeting via video-conference.



## Decision Making Process

Any non-FHS research involving human participants is subject to full review by MREB (with some non-FHS research reviewed by the Hamilton Integrated Research Ethics Board [HiREB] due to certain study procedures). Most ethics protocols reviewed by MREB go through a delegated review process (i.e., one or two members and the Chair or Vice-Chair). McMaster University mandates MREB, in accordance with the TCPS, to review the ethical acceptability of non-FHS research. In this regard, MREB may recommend clearance, propose modifications, reject or even terminate any planned or ongoing non-FHS research involving human participants that is conducted under the auspices or within the jurisdiction of McMaster University. MREB delegates to various Student Research Ethics Committees (SRECs) the review of most minimal risk undergraduate research and course-based research. The main MREB committee reviews faculty, staff, and graduate student research, along with higher risk undergraduate student research.

### Members of the Board – as of June 2022

1. **Chair:** Violetta Ighneski, Philosophy
2. **Vice-Chair:** Sue Becker, Psychology, Neuroscience & Behaviour
3. Baraa Al-Khazraji, Kinesiology
4. Jewel Amoah, Community Member
5. Paul Andrews, Psychology, Neuroscience & Behaviour
6. Kathy Ball, Office of the University Librarian
7. Mike Campbell, Community Member
8. Mirna Carranza, School of Social Work
9. Jo Cenaiko, Philosophy
10. Amr El-Kebbi, DeGroot School of Business
11. Sarah Glen, Bachelor of Health Sciences Program
12. Amy Gullage, MacPherson Institute
13. Stine Hansen, MacPherson Institute
14. Hanna Haponenko, Psychology, Neuroscience & Behaviour
15. Sadhna Jayatunge, Community Member
16. Kim Jones, Chemical Engineering
17. Lydia Kapiriri, Health, Aging & Society
18. Allison Leanage, Sociology
19. Zahra Motamed, Mechanical Engineering
20. Wayde Nie, UTS/RHPCS
21. Valerie O'Brien, Feast Centre for Indigenous STBBI Research
22. David Ogborn, Communication Studies and Media Arts
23. Michelle Ogradnik, Kinesiology
24. Naomi Overend, Community Member
25. Erin Reid, DeGroot School of Business
26. Karen Richmond, McMaster Association of Part-Time Students
27. Aaron Roberts, Philosophy
28. Ranil Sonnadara, Special Advisor to the VP Research
29. Hongjin Sun, Psychology, Neuroscience & Behaviour
30. Mary Vaccaro, School of Social Work
31. Allison Van, SPARK – Faculty of Social Sciences
32. Rachel VanEvery, Public Health, Indigenous Representative
33. Rob Wilton, School of Earth, Environment & Society
34. Kaitlin Wynia Baluk, DeGroot School of Business

### MREB Administrative Personnel

**Assistant Director, Research Ethics:** Nikola Caric

**Research Ethics Advisor:** Lisungu Chieza

**Research Ethics Advisor:** Nicole Gervais

**Research Ethics Officer:** Karen Henderson

June 30, 2022

## MREB Chair's Message



As I reflect back on my final year as MREB Chair, the COVID 19 pandemic continued to loom large. MREB, researchers, and those supporting research at McMaster faced significant challenges and we had to adapt to the unpredictable and continually changing impact of the virus and public health guidance which ranged from a complete pause in all human participant research to a slow and staged reopening. Nevertheless, we stayed firmly committed to our mission “to ensure research involving human participants carried out under the auspices of McMaster University is of the highest quality, is conducted to protect the interests of human participants and of society and is in compliance with the Tri Council Policy Statement: Ethical Conduct for Research Involving Humans.” In particular, our work was always guided by the three core principles of the TCPS--Respect for Persons, Concern

for Welfare, and Justice.

We guided researchers through the different stages of research restrictions and additional university and public health requirements, and adapted procedures to facilitate the transition. For example, we revised the MREB COVID-19 FAQ and the COVID Letter of Information (LOI) for fieldwork and on campus research, as needed, to stay in line with the evolving University COVID-19 requirements. We modified processes in response to changing circumstances such as the submission of amendments, COVID Research Activity Plans, vaccine requirements, and evolving health and safety requirements. In order to ensure TCPS compliance, we consulted with the VPR and Associate Deans – Research (ADRs), provided COVID updates to researchers and MREB members, and continued to educate ourselves on the new risks both to health and also to privacy that arose from the massive shift to collecting data online.

In order to continue with high quality reviews and compliance with the TCPS given the high number of applications and their increasing complexity (due to the pandemic and also increased international research and technological changes), we hired an additional Research Ethics Advisor. With the support of the VPR, we also added an additional Vice-Chair and enacted an appointment schedule for MREB (Vice)-Chairs with a staggered timeline, to ease transitions and ensure continuity of leadership. This additional capacity will allow the chairs and staff to fulfill some longer-range goals on providing further guidance on research ethics issues, forging stronger links across campus and being more proactive in supporting researchers through future transitions. To highlight a few important accomplishments: we made a number of modifications to the application form in MacREM (the online ethics submission system) in response to comments from reviewers, researchers, and Research Ethics Office staff; we reorganized the website to help with accessibility (e.g., searching templates); and after consultation with MREB and the Equity and Inclusion Office (EIO), we created a guidance document for researchers collecting data on gender, sex, race and/or ethnicity in a clear and inclusive manner.

My biggest debt of gratitude goes to the Vice-chair, Sue Becker, who shared the workload with me, stepped in whenever needed, and whose advice and experience I relied on each day. Both Sue and I couldn't have done our jobs without the tireless work of the wonderful people who make up the McMaster Research Ethics Board Ethics Office. Its anchor, Nick Caric, the Assistant Director, Research Ethics, holds it all together with incredible wisdom, humility, and sound judgment. Karen Henderson, Lisungu Chieza, and Nicole Gervais provided much appreciated daily guidance and support to the chairs, in addition to MREB reviewers and researchers. I owe a special thanks to Ranil Sonnadara who advised us on many of the COVID-related changes and served as an important link between MREB and the various decision-making bodies at the university. Thank you also to the Chairs and members of the Student Research Ethics Committees (SRECs) across campus who handle the review of course-

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based research and protocols for research conducted by undergraduate students. By guiding student researchers and course instructors through the ethics review and revision process, they have been a vital part of our effort to ensure that all protocols are dealt with fairly and efficiently. And finally, I would like to acknowledge with great appreciation the dedication of all members of MREB for reviewing protocols and grappling with sensitive and complicated ethical issues, often on extremely tight timelines. A special thanks to Amy Gullage, Aaron Roberts, Mirna Carranza, Stine Hansen, Zahra Motamed, Kaitlin Wynia Baluk, Valerie O'Brien, Amr El-Kebbi, and Michelle Ogrodnik whose terms have come to an end. Thank you for your service and all the best in your future endeavours.

## Operational and Policy Development Activities

### Internal Meetings

- Monthly MREB meetings: The purpose of these meetings was to review protocols, deliver continuing education to MREB members, and address MREB operational matters. The annual general meeting took place in June 2022. At that meeting, the Research Ethics Officer presented the SREC reports on their annual activities, and the goals and objectives for the upcoming year were discussed.
- Monthly meetings of the Chair, Vice-Chair, and MREB Ethics Office personnel: These meetings were held to address routine operational matters, set the agenda for the monthly MREB meetings, and discuss any additional issues.

### Administrative Activities

- The Research Ethics Officer continues to conduct an administrative review of incoming applications in order to provide feedback to researchers regarding necessary revisions prior to ethics review (e.g. missing documents, insufficient information, etc.). This initial administrative review ensures that the MREB reviewers can focus on any ethical concerns in the application. The new online system (MacREM) has made it easier for the Research Ethics Officer to provide comments to researchers and creates a clear record of what was covered in the administrative review, which the MREB Chairs can access in order to provide feedback to the Research Ethics Officer on the appropriateness of the administrative review comments. This past year the administrative review included confirmation that in-person research had received required University approval (through the appropriate Associate Dean - Research) for the COVID-19 precautions.
- The Researcher Annual Report/Project Status process continued in compliance with the TCPS requirement of ongoing review (TCPS2 Art. 6.14). MREB personnel ensured that researchers were notified to complete their required short annual project status reports in advance of the anniversary of their initial clearance in order to remain in compliance with the Tri-Council Policy Statement, the Tri-Agency's Framework: Responsible Conduct for Research, and university policies and funding requirements. In the coming years, the MREB Ethics Office will look at improving the process, ideally in partnership with faculty research administrators, in order to reduce the number of researchers failing to submit annual reports on time. At this point the research ethics officer and student office assistant follow-up with researchers regarding overdue reports.
- The MREB forms on the MacREM system had an update in June 2022, as the MREB Ethics Office staff make changes based on how researchers are completing the form, as well as researcher and reviewer feedback.

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Most of the changes were minor and were made to improve clarity of questions, fix formatting or broken links, or to remove questions deemed unnecessary (or combine with another question). A date field was added to the annual report form to make it easier for researchers to track their annual reports in the project tree going forward. Planning for an update of Section 15 will be undertaken, in consultation with the Research Data Management (RDM) Specialist, to account for the new Tri-Agency Research Data Management Policy and the emphasis on data deposit and sharing.

- Based on the increase in volume of ethics submissions, along with the increase in related services (e.g., consultation meetings), a second Research Ethics Advisor (REA) was hired in January 2022 to handle the review workload and help with the other duties of the MREB Ethics Office. This past year, the MREB Chair and Vice-Chair continued to work with the REAs on fine-tuning the review feedback prepared at the REA level, allowing the Chairs to reduce the amount of time spent on finalizing MREB review comments for researchers.
- The VP-Research and the Faculty Deans agreed to institute a schedule for the appointment of the MREB Chair and two Vice-Chair positions. This schedule ensures that the faculties submitting the most applications to MREB share in the responsibility of finding faculty members to serve as MREB (Vice)Chairs. The schedule also staggers the appointments, so that there is greater continuity of the MREB leadership year to year (avoiding an entire new slate of Chairs at one time), which will lead to a smoother transition each summer and better service for researchers. The increase in volume of applications necessitated the addition of a second Vice-Chair, to better share the workload among the Chairs and have coverage for vacations and other absences.
- The MREB Ethics Office continued to inform researchers about the COVID-19 restrictions on in-person research with human participants. The MREB COVID-19 FAQ was updated as necessary and directs researchers to the Office of the VPR information on University COVID-19 approvals for research. The MREB Ethics Office staff advised researchers on the process via email and phone when receiving questions about COVID-19 restrictions or an ethics application for a project that still required University COVID-19 approval. In May of 2022, with the pause of the ADR approval process and change to University requirements, the MREB Ethics Office updated all guidance and started following up, as needed, with individual researchers conducting in-person human participant research to communicate any actions required.
- The Research Ethics Advisors created a procedure, with a Standard Operating Procedure (SOP) and flowchart document, to systematically follow up with researchers on applications where the requested response to the MREB feedback has not been submitted promptly. The goal is to ensure researchers new to REB review, primarily students, know the response is required before clearance, and to determine if the reason for the non-response is due to the project being on hold or not proceeding.

### Information Systems Development

- Refinement of the MacREM system and workflow continued in 2021-2022. There is some flexibility in both the online form and system, and the system vendor is responsive to feedback, so the MREB staff can continue to tweak MacREM in response to researcher concerns. A major development was the vendor starting to release a new reporting system and dashboard in the Spring of 2022. The MREB Ethics Office

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staff are learning the new reporting system, which will not be fully implemented until Fall 2022, and anticipate being able to create reports more easily in the future.

- The MREB Ethics Office continues to work with Research & High-Performance Computing Support (RHPCS) to keep the MREB section of the Research & Innovation (R&I) website updated. The main change this past year was the creation of a webpage on the R&I website to better organize the MREB guidance documents and templates, so researchers could more easily find the supporting document they need.
- The Research Ethics Officer and AD-Research Ethics attended several webinars run by Infonetica (the MacREM system vendor) about the ethics research management system.

### Policy Development and Committee Work

- During 2021-2022 the Policy Statement Concerning Institutional Support of Researchers in Maintaining Promises of Participant Confidentiality continued to move through the approval process at McMaster University, Hamilton Health Sciences, and St. Joseph's Healthcare Hamilton. Nick Caric, AD-Research Ethics, had previously worked with VP Research, Karen Mossman, along with representatives from Hamilton Health Science and St. Joseph's Healthcare Hamilton to turn the draft policy document into a joint policy between McMaster, HHS and SJHH. This was in part to satisfy the Interagency Advisory Panel on Research Ethics interpretation of Article 5.1 of the TCPS2. With the 2019 release of the 2018 revisions to TCPS2, this interpretation is now within the TCPS2 as part of the application of Article 5.1. Therefore, the three institutions should prioritize finalizing approval of the new policy.
- The MREB Chair serves on the Research Information Technology Committee, which meets monthly. The purpose of this committee is to provide strategic guidance on sustainable digital infrastructure (hardware, software, people) for research; to help facilitate effective coordination across the institution; and to ensure that the needs of researchers are considered in strategic decisions around IT.
- The AD-Research Ethics serves on the Research Data Management Institutional Strategy Working Group. This group's task is to develop a draft institutional RDM strategy, to be reviewed by IT Governance.
- The AD-Research Ethics serves on the LimeSurvey Advisory Committee. This committee provides guidance and feedback to the Research Information Technology Committee on strategic directions for the central instance of LimeSurvey.
- One of the Research Ethics Advisors (Lisungu Chieza) serves on the Privacy, Access and Research Ethics working group as part of the Survey Community of Practice, under the Director, Institutional Research and Analysis. The Survey Community of Practice is comprised of McMaster members who provide a broad view on best practices for the collection, storage, and reporting of survey data. The working group developed a Data Access and Sharing document.
- A Research Ethics Advisor (Lisungu Chieza) attended the Health Canada engagement session on proposed changes to regulatory requirements related to the use of cannabis in non-therapeutic research.

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## Education and Professional Development

### Educational Activities

- Numerous one-on-one ethics consultations were provided throughout the year, often on a daily basis, by MREB Ethics Office personnel. These consultations were conducted by telephone, videoconferencing, and through email exchanges. The MREB Chairs, as well, met with researchers to discuss research ethics issues when required (primarily for high-risk research or unique situations that required an MREB Chair to advise).
- The MREB Ethics Office provided research ethics awareness/guidance for McMaster USRA program students via email sent to the USRA contact persons.

### Educational Presentations

- The AD-Research Ethics held orientation sessions for new MREB and SREC members, introducing them to their protocol reviewer role. MREB personnel also oriented both new and returning members on the use of the new online ethics review system.
- In-class presentations on research ethics were made in graduate and undergraduate courses in Masters of Communication Management, Social Work, Arts and Sciences, Communications and Multimedia, Health Aging and Society, Labour Studies, Engineering Practice and Technology, Global Studies, Divinity College, Business, Kinesiology, and Psychology, Neuroscience & Behaviour. Additionally, a special session on research ethics was held for MacPherson Institute research grant recipients.

### REB Capacity Building

- The original McMaster Research Ethics online tutorial had over 7000 people complete it since June 2007, here in Canada and abroad. A new LimeSurvey version was launched in Fall 2019. With the release of the TCPS2: CORE-2022 tutorial from the Panel on Research Ethics, the MREB Ethics Office determined that the McMaster Research Ethics Tutorial should be retired. The McMaster tutorial was similar to the older version of the TCPS2 CORE tutorial and is now out of date. Additionally, the new version of the TCPS2 CORE tutorial is much improved on the previous version, now focusing more strongly on the TCPS2 principles and requirements. The McMaster Research Ethics Tutorial was retired on June 17, 2022. Students and researchers using the old tutorial link are redirected to a webpage explaining the change and are provided links to the TCPS2: CORE-2022 tutorial.

### Promotional Initiatives

- MREB personnel staffed a virtual information table on research ethics at McMaster at the Graduate Student Resource Fair in September 2021.

### Guidance Documents and Templates

- In response to the COVID-19 restrictions on research, the MREB Ethics Office staff and MREB Chairs produced the [MREB COVID-19 FAQs webpage](#) to guide researchers on review requirements and common changes that may be required (e.g. switching to online interviews/focus groups, oral consent). The webpage was created in Spring of 2020 and over the past year has been revised as necessary to keep in line with the University guidance and requirements on COVID-19 approvals.

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- The MREB Ethics Office worked with the OVPR and the University Health and Safety unit with the development of the webpages summarizing the University requirements for conducting in-person human participant research during COVID-19, and with the COVID-19 specific letters of information for participants.
- A review of MacREM user guidance documents was started in May of 2021 by the Research Ethics Officer and the summer co-op student. The review and updating of documents were completed, with new language and screenshots, as necessary, to match the current iteration of the MacREM system.
- A Research Ethics Advisor (Nicole Gervais) created a template debriefing letter for use in studies that involve deception or partial disclosure and require debriefing and re-consent.
- The MREB Ethics Office has made available a research agreement template that can be used when partnering with Indigenous communities (and could be adapted for other types of communities). The template was developed by Dr. Gita Ljubicic (SEES) and the Research Ethics Officer has initiated collaboration with the McMaster Indigenous Research Institute (MIRI) to see if there can be further refinement of the template.
- The Research Ethics Officer led a review and update of existing research participant recruitment templates and added new recruitment templates. A review and update was also done for some of the informed consent templates and for the guidance document on ethnographic research.
- A quick guide was created for completing the MREB application when conducting research that only involves secondary use of non-identifiable data.

### Professional Development

- MREB Vice Chair, Dr. Sue Becker, led an education/discussion session at the May 2022 MREB meeting on TCPS2 guidance and requirements on observation research and consent.
- The AD-Research Ethics, the Research Ethics Officer, and one of the Research Ethics Advisors attended the Canadian Association of Research Ethics Boards (CAREB) annual conference, which was held virtually. The Research Ethics Officer, and some MREB members, attended the additional CAREB workshops on anti-Black racism and research.
- New MREB members complete the Tri-Council Policy Statement Course on Research Ethics (CORE) tutorial when they join the Board.
- The Research Ethics Officer attended the kikapekiskwewin: Indigenous Research Ethics conference/gathering.

### Progress on Goals and Objectives from the Past Year (July 1, 2021 – June 30, 2022)

- Proposals to add a second Research Ethics Advisor to the MREB Ethics Office and appoint two MREB Vice-Chairs, instead of one, to handle the increased workload, were successful. These changes were covered in more detail in the Administrative Activities section above.

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- The MREB Ethics Office has been in communication with the MIRI Assistant Director regarding a couple of research ethics items related to research with Indigenous people. MIRI itself has been quite busy with getting new team members established and developing resources. It is hoped that in the coming years both MREB and MIRI will have more capacity to connect and discuss how best to assist researchers doing human participant research with Indigenous population and/or in partnership with Indigenous communities.
- The MREB Chair and Vice-Chair developed a guidance document for collection of sensitive survey data around race/ethnicity, gender, and sexuality (e.g., inclusive questions). The Chairs consulted researchers on MREB who collect this type of data and the Associate Vice-President, Equity and Inclusion.

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## Statistical Overview of Protocols Received in 2021-2022 (July 1, 2021 – June 30, 2022)

**Table 1: Number of New Applications and Amendments Received by MREB and SRECs by MREB Reporting Year**

Year	MREB	SREC	Total New Applications	Amendments	Total Including Amendments
2008-09	186	78	264	60	324
2009-10	215	91	306	73	379
2010-11	216	89	305	76	381
2011-12	214	61	275	99	374
2012-13	242	106	348	102	450
2013-14	235	81	316	143	459
2014-15	267	72	339	114	453
2015-16	244	63	307	106	413
2016-17	273	59	332	123	455
2017-18	251	63	314	153	467
2018-19	259	32	291	156	447
2019-20	298	49	347	188	535
2020-21	323	56	379	230	609
2021-22	264	52	316	180	496

\*Total new applications include standard, course-based, external and conditional release of funds.

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**Table 2: Number of New Applications Received by MREB and SRECs by Month**

<b>Month</b>	<b>MREB</b>	<b>SREC</b>	<b>Total</b>
Jul-21	27	1	<b>28</b>
Aug-21	22	3	<b>25</b>
Sept-21	32	3	<b>35</b>
Oct-21	22	5	<b>27</b>
Nov-21	22	15	<b>37</b>
Dec-21	18	8	<b>26</b>
Jan-22	22	7	<b>29</b>
Feb-22	16	4	<b>20</b>
Mar-22	22	2	<b>24</b>
Apr-22	19	0	<b>19</b>
May-22	25	3	<b>28</b>
Jun-22	17	1	<b>18</b>
<b>Total</b>	<b>264</b>	<b>52</b>	<b>316</b>

\*New applications include standard, course-based, external and conditional release of funds.

June 30, 2022

**Table 3: Applications and Sub-Forms Submitted in the MacREM System by Month**

Month	Standard	Amend	PoR	FIO	Con	Course	Ext	Reportable	Annual	Total
Jul-21	19	11	1	12	7	1	1	3	31	86
Aug-21	18	5	4	15	3	2	2	0	32	81
Sept-21	30	20	4	27	4	0	1	3	36	125
Oct-21	21	18	0	26	2	0	4	5	36	112
Nov-21	32	18	0	20	2	2	1	2	43	120
Dec-21	22	16	3	13	1	1	2	1	27	86
Jan-22	21	18	5	24	4	2	2	2	78	156
Feb-22	17	18	3	22	2	0	1	0	40	103
Mar-22	22	15	5	11	1	0	1	0	48	103
Apr-22	12	11	0	16	6	0	1	0	30	76
May-22	20	19	1	35	8	0	0	2	43	128
Jun-22	13	11	0	22	3	0	2	0	47	98
<b>Total</b>	<b>247</b>	<b>180</b>	<b>26</b>	<b>243</b>	<b>43</b>	<b>8</b>	<b>18</b>	<b>18</b>	<b>491</b>	<b>1274</b>

**Standard:** New standard MREB application

**Amend:** Amendment form to an approved application

**POR:** Program of research – individual study form

**FIO:** For information only form

**Con:** Conditional release of funds application

**Course:** Course-based research application

**Ext:** Application for a project with external REB clearance

**Reportable:** Reportable event form (adverse event, protocol deviation, data breach, complaint)

**Annual:** Annual Report

June 30, 2022

**Table 4: Number of New Applications Received by MREB and SRECs by Faculty/School**

<b>Faculty</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>
Administration	11	20	11	1	1	3
Arts & Science	11	9	3	4	2	0
Business	37	31	24	39	48	39
Divinity College	4	5	2	4	6	8
Engineering	14	13	15	21	20	25
External	6	4	10	5	11	7
Health Sciences	1	1	1	6	7	6
Humanities	40	37	37	57	66	46
MacPherson	-	-	-	3	5	5
Science	70	58	62	88	94	87
Social Science	78	73	94	119	119	90
<b>Total</b>	<b>272</b>	<b>251</b>	<b>259</b>	<b>347</b>	<b>379</b>	<b>316</b>

\*New applications include standard, course-based, external and conditional release of funds. The faculty (or other source) designation is based on the affiliation of the Principal Investigator (or the Faculty Supervisor in the case of student research). The inclusion of data on the SRECs starts with 2019-2020, previous years in the table are for MREB only.

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**Table 5: Number of New Applications Received by MREB and SRECs by Level of Project**

Level	2016-17	2017-18	2018-19	2019-20	2020-21	2020-21
Faculty	133	119	99	121	172	137
Post-Doc	6	6	22	41	35	19
PhD	39	35	54	57	88	59
Grad Course	-	-	6	16	12	11
DPT	0	2	0	2	3	8
MRP	23	20	22	26	27	21
Masters Thesis	42	34	48	40	39	43
Undergraduate	20	21	45	87	96	76
Administration	8	12	11	13	15	13
Other	2	2	6	12	4	2
ISSOTL	-	-	-	1	0	0
Capstone	-	-	-	2	5	0
MacPherson-SPP	-	-	-	5	1	0
<b>Total</b>	<b>273</b>	<b>251</b>	<b>313</b>	<b>423</b>	<b>497</b>	<b>389</b>

\*New applications include standard, course-based, external and conditional release of funds. The data for 2018-2019 and forward include all the checkboxes for Level of Project selected (in the new MacREM form), which is why the total numbers are greater than previous old system numbers (which only counted one level of project from a drop-down list). For example, a project that indicates both Faculty and PhD thesis for level of project is counted for both categories. The inclusion of data on the SRECs starts with 2019-2020, previous years in the table are for MREB only (as seen by the large number in the undergraduate category for 2019-2020).

**DPT: Doctor of Practical Theology projects (McMaster Divinity College)**

**MRP: Major Research Paper**

**Undergraduate: Includes thesis projects and independent study projects**

**ISSOTL: Projects under International Society for the Scholarship of Teaching and Learning**

**MacPherson-SPP: The MacPherson Institute Student Partners Program projects**

June 30, 2022



**Table 6: Number of Applications Receiving Ethics Clearance by MREB and SRECs by Month**

<b>Month</b>	<b>MREB</b>	<b>SREC</b>	<b>Total</b>
Jul-21	25	3	<b>28</b>
Aug-21	21	0	<b>21</b>
Sept-21	33	3	<b>36</b>
Oct-21	14	0	<b>14</b>
Nov-21	28	10	<b>38</b>
Dec-21	19	8	<b>27</b>
Jan-22	28	9	<b>37</b>
Feb-22	20	6	<b>26</b>
Mar-22	23	3	<b>26</b>
Apr-22	22	1	<b>23</b>
May-22	30	1	<b>31</b>
Jun-22	28	1	<b>29</b>
<b>Total</b>	<b>291</b>	<b>45</b>	<b>336</b>

**\*New applications include standard, course-based, external and conditional release of funds. Applications receiving ethics clearance do not match applications submitted (Table 2) as clearances include some applications that were received in the previous year, and applications submitted late in 2021-22 will not be cleared until the 2022-23 year.**

June 30, 2022



May 2022

TO: University Planning Committee and Senate

FROM: Kim Dej  
Vice-Provost, Teaching and Learning  
Co-Chair, Quality Assurance Committee

RE: IQAP Cyclical Program Reviews

## **INTRODUCTION**

The purpose of Institutional Quality Assurance Process (IQAP) program reviews is to assist academic units in clarifying their objectives and to assess curriculum and pedagogical policies, including desirable changes for future academic development. Although the primary objective for these reviews is the improvement of our academic programs, the processes that we adopt are also designed to meet our responsibility to the government on quality assurance. The process by which institutions meet this accountability to the government is outlined in the Quality Assurance Framework (QAF), developed by the Ontario Councils of Academic Vice-Presidents (OCAV). Institutions' compliance with the QAF is monitored by the Ontario Universities Council on Quality Assurance, also known as the Quality Council, which reports to OCAV and the Council of Ontario Universities.

The goal of McMaster's IQAP is to facilitate the development and continued improvement of our undergraduate and graduate academic programs, and to ensure that McMaster continues to lead internationally in its reputation for innovation in teaching and learning and for the quality of its programs. McMaster's IQAP is intended to complement existing mechanisms for critical assessment and enhancement, including departmental reviews and accreditation reviews. The uniqueness of each program emerges through the self-study.

All program review reports (including self studies, review team recommendations, departmental responses, and dean's implementation plans) are submitted to McMaster's Quality Assurance Committee, a joint committee of Undergraduate and Graduate Councils. The Quality Assurance Committee assesses all submitted reports and prepares a Final Assessment Report (FAR) for each program review conducted during the previous academic session. Each FAR:

- Identifies significant strengths of the program;

- Addresses the appropriateness of resources for the success of the program;
- Identifies opportunities for program improvement and enhancement;
- Identifies and prioritizes the recommendations;

Undergraduate Council and/or Graduate Council will review this report to determine if it will make additional recommendations.

#### **2020 -2021 IQAP CYCLICAL PROGRAM REVIEWS**

The following programs were reviewed during 2020-21:

##### Undergraduate Programs

Automation Engineering Technology

Automotive and Vehicle Engineering Technology

Civil Engineering Infrastructure Technology

## **FINAL ASSESSMENT REPORT**

### **Institutional Quality Assurance Program (IQAP) Review**

#### **Automation Engineering Technology**

**Date of Review: May 18 - 19, 2021**

*In accordance with the University Institutional Quality Assurance Process (IQAP), this final assessment report provides a synthesis of the external evaluation and the internal response and assessments of the Automation Engineering Technology (AET) Program. This report identifies the significant strengths of the program, together with opportunities for program improvement and enhancement, and it sets out and prioritizes the recommendations that have been selected for implementation.*

*The report includes an Implementation Plan that identifies who will be responsible for approving the recommendations set out in the Final Assessment Report; who will be responsible for providing any resources entailed by those recommendations; any changes in organization, policy or governance that will be necessary to meet the recommendations and who will be responsible for acting on those recommendations; and timelines for acting on and monitoring the implementation of those recommendations.*

#### **Executive Summary of the Review**

In accordance with the Institutional Quality Assurance Process (IQAP), the W Booth School of Engineering Practice and Technology submitted a self-study in April 2021 to the Vice-Provost Faculty to initiate the cyclical program review of the Automation Engineering Technology (AET) undergraduate program. The approved self-study presented program descriptions, learning outcomes, and analyses of data provided by the Office of Institutional Research and Analysis. Appendices to the self-study contained the CVs for each full-time member in the department.

Two arm's length external reviewers and one internal reviewer were endorsed by the Faculty Dean, W Booth School of Engineering Practice and Technology, and selected by the Vice-Provost Faculty. The review team reviewed the self-study documentation and then conducted a review on May 18-19, 2021. The review included interviews with the Provost and Vice-President (Academic), Faculty Dean, Vice-Provost Faculty, Associate Dean Academic, Program Chair of the B.Tech. Automation Engineering Technology within W Booth School of Engineering Practice and Technology and meetings with groups of current students, full-time faculty and support staff.

The Chair of the B.Tech. Automation Engineering Technology and the Dean of the Engineering submitted responses to the Reviewers' Report (April 2022). Specific recommendations were discussed and clarifications and corrections were presented. Follow-up actions and timelines were included.

The reviewers found the Automation Engineering Technology (AET) Program to be highly successful and very well aligned with McMaster’s vision and mission through its innovative and creative curriculum. They also found the program to be supportive of McMaster’s current priorities and strive for excellence.

**The following program strengths were identified:**

- Affiliation with industry through the Program Advisory Committee, an interdisciplinary curriculum combining business and technical courses, CO-OP experience, and applications-oriented learning based on experiential learning supported by strong laboratory program.
- Collaboration with Mohawk college give students access to well-equipped facilities, thus providing them with a rich and rewarding experience.
- Community engagement through capstone projects of multidisciplinary nature involving community or industry partners.
- Instructors with industry experience, involved in pedagogical and applied discipline research
- Graduates find employment easily upon graduating from the AET program. They adduced their fast success in securing gainful employment to their unique hands-on experiential training and employment-ready skills.

**The following areas of improvement were suggested:**

- Provide opportunities of online learning in post-pandemic to support continuing blended delivery of content.
- There is no formalized or recognized support for technical or discipline research, neither does it count towards faculty opportunity for promotion. The reviewers think that supporting research initiatives among the AET faculty will serve as a good complement to the “applications-oriented teaching approach” of the program.
- Invite guest lecturers in courses taught by regular teaching track faculty.

More specific areas program enhancement described in the report are directly reflected in the recommendations, discussed below.

**Implementation Plan**

Recommendation	Proposed Follow-Up	Responsibility for Leading Follow-Up	Timeline for Addressing Recommendation
<b>Form a committee to discuss and implement supplementary application processes that identify the best part-time and mature degree completion students suitable for the BTech program.</b>	This is not applicable to the Automation Engineering Technology Program as its students are admitted predominately straight out of high school.	No follow-up.	Not applicable.

<p><b>Systematically integrate the business and management courses within the technical courses.</b></p>	<p>Valuable observation. It will be shared with instructors and there will be discussion on how to liaise between Technical and GENTECH instructors to identify opportunities to integrate and apply both concepts at all levels of the program.</p>	<p><b>Tom Wanyama &amp; Michael Justason</b> - Liaise with the Program Chairs of the technical and GENTECH courses to collect information on how to integrate their subject matter and create an implementation plan.</p>	<p>May 2023.</p>
<p><b>Increase of the level of teaching from intermediate to advanced level for the Smart Tech. courses (SMRTECH 4HM3, 4ES3, 4ID3, 4SC3, and 4AI3).</b></p>	<p>Valuable observation. It will be shared with the lead of the Smart Systems stream. In summer of 2022 the content of these courses will be reviewed to identify areas of improvement, and then the instructors will create a plan for upgrading the courses. The courses will be reviewed again in the summer of 2023 to determine how the improvements were implemented.</p>	<p><b>Tom Wanyama</b> - Identify areas of improvement, create a plan, and implement the improvements.</p>	<p>Improvements should be ready by Sept 2022.</p> <p>The second course review should be ready by July 2023.</p>
<p><b>Include a new Level 2 course on networking and a new Level 4 technical elective course that may focus on emerging smart areas.</b></p>	<p>We are aware of the suggestion to include the level 2 course but find it difficult to identify which course to “sacrifice”. Simply combining the curriculum of Chemical Engineering courses may affect the requirements for the college diploma that our students get. We already have level 4 technical electives on human health (smart health) or machine condition monitoring. The human health course has not been developed because of the challenges</p>	<p><b>Tom Wanyama</b> - Develop the smart health course.</p> <p>Revisit the ensue of including a level 2 networking course.</p> <p>We will review creating a space for this course by merging the contents of PROCTECH 2CE3 and PROCTECH 2EC3, into a new 3 units course.</p> <p>Such a change will need approval of Mohawk College that</p>	<p>July 2022</p>

	caused by the COVID19 pandemic. All this will be revisited in the summer of 2022.	awards an Advanced Chemical Engineering diploma to our students.	
<b>Make all industrial automation systems and smart systems technical elective to give students an option of which courses to select, based on their interest within each minor.</b>	We are aware of the suggestion. It should be noted that the Smart Systems stream was born out of the effort to create electives in the fourth year. We quickly realized that many smart systems courses did not compliment industry systems courses and vice versa. We therefore decided to bundle the courses into streams. We currently have only two fourth year electives PROCTECH 4MH3 – Machine Health and Remote Monitoring, and SMRT TECH 4HM3 - Human Monitoring and Smart Health Systems.	<b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to review the possibility of creating more electives.	Not applicable.
<b>Include at least one technical elective course in each of the major areas of electrical engineering— machines and power systems, communications, and electronics – this might help the graduates that are interested in P. Eng. Designation.</b>	We are aware of the suggestion but the issue comes down to sacrificing courses that help our students to get jobs for courses that help the few graduates interested in P. Eng designation.	<b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to review the possibility of creating such electives.	Not applicable.
<b>Involve industry partners in the whole process of capstone projects including the assessment of the final products.</b>	We have always involved industry professionals in assessment of capstone projects. However, we noticed that they provide the best contribution to the assessment of proposals and not to the final products. Since they do not have the time to follow the project process,	<b>Tom Wanyama</b> - This suggestion will be communicated to instructors, but we do not intend to take specific action on it.	Not applicable.

	<p>they tend to award grades based mainly on the final product.</p> <p>For the project with community partners, they are involved in the entire process except the final assessment.</p>		
<p><b>Incorporate peer evaluation in the assessment of group projects.</b></p>	<p>Peer evaluation was standard in most Automation Engineering Technology courses until 2016 -2018, when instructors noticed that many students were rewarding or penalizing their peers in assessment due to reasons that had nothing or little to do with the projects.</p>	<p><b>Tom Wanyama</b> - This recommendation will be communicated to instructors to make decisions appropriate for their courses.</p>	<p>Not applicable.</p>
<p><b>Include oral presentation component in more courses involving group projects, to help students practice and strengthen their oral communication skills.</b></p>	<p>Valuable observation. It will be shared with instructors and there will be discussion on how implement this recommendation.</p>	<p><b>Tom Wanyama &amp; Michael Justason</b> - Liaise with instructors of both technical and GENTECH courses to increase the number of courses with oral presentations.</p> <p>Create a list of courses that have oral presentation and explanation of how the presentations are used to meet the course learning outcomes.</p>	<p>September 2022</p>
<p><b>Students interviewed felt that going back and forth between McMaster and Mohawk was inconvenient. Scheduling the labs at Mohawk to take place only on some specific days of the week, with no lectures held at McMaster on such lab</b></p>	<p>Labs are scheduled at Mohawk on a specific day. There is no going back and forth unless the student is off-cycle and they have lower year courses they are taking to catch up.</p>	<p><b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to work with scheduling to ensure that students have a specific day to do labs at Mohawk.</p>	<p>Not applicable.</p>



days, could reduce this issue.			
<b>SEPT staff are overloaded. One of the most pressing needs is the amount on time spent on scheduling of courses and activities. A possible recommended solution for course scheduling will be to give staff more lead time while still allowing staff preferences to be incorporated into scheduling. Another possibility will be to pass on some of the less critical scheduling to the Central Administration at McMaster.</b>	We are aware of the suggestion. This suggestion will be shared with B.Tech. Program Chairs, the Administrative team, and the school Director and there will be discussion on how implement the recommendation. Ultimately the scheduling process sits with the University and Mohawk College, and is above the school itself.	<b>Tom Wanyama</b> - Liaise with other Program Chairs, the Administrative team, and the Director on how to address this suggestion.	July 2022
<b>Teaching support in the form of teaching assistants (TA)s and technical support was not enough. The reviewers suggest the AET program chair meet with the program advisory committee to determine minimum enrollment number to provide one teaching assistant (TA) support (e.g., at the rate of 3 hours/week). TAs can then support faculty with the grading the students' assignments, quizzes and lab reports. This will free up time for the regular teaching faculty to engage in pedagogical and applied research.</b>	The Automation Engineering Technology program has always had small classes, with labs counted toward instructor teaching load. But as the program grows in student numbers, we have started assigning TA to classes with more than 50 students and in other special circumstances.	<b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to update and improve the TA program.	Not Applicable
<b>The reviewers encourage the program authorities to continue keeping their labs current as well as improving access to labs</b>	Every summer all Automation Engineering Technology labs are reviewed and/or upgraded.	<b>Tom Wanyama</b> - We will continue the annual review and upgrade of our lab facilities.	Not applicable.

<p><b>for students within the McMaster University campus to improve commute time used by the students travelling between the two partner institutions.</b></p>			
<p><b>There is need for a clear mechanism that will allows recognition of faculty research and teaching productivity while indicating a clear path towards promotion. The reviewers recommend that a committee is created to define and communicate the guidelines and metrics for the career projection of the regular teaching track faculty.</b></p>	<p>This is a valuable observation that we are aware of. Consequently, there is several efforts within the School and the Faculty of Engineering to develop mechanisms for recognising teaching productivity. What is missing in these efforts is the development of recognising discipline research for teaching stream faculty. This recommendation will be shared with instructors and there will be discussion on how implement it.</p> <p>There is a need to direct funding towards discipline research.</p>	<p><b>Tom Wanyama</b> - Liaise with other chairs and the director on setting up a mechanism for recognising discipline research for teaching stream faculty.</p>	<p>July 2022</p>
<p><b>The reviewers recommend prioritizing efforts to continue to reduce the percentage of technical courses taught by non-permanent (sessional) instructors. The current numbers are concerning.</b></p>	<p>This is a valuable suggestion that we are aware of. We have hired two more permanent faculty since the last IQAP, two faculty have attained permanence, one is on teaching track, and we are in the processing of filling another teaching track position.</p> <p>We will continue to advocate for more full-time positions in the AET program.</p>	<p><b>Tom Wanyama</b> - The Program Chair will continue to liaise with the School Director to address this issue.</p>	<p>Not applicable.</p>
<p><b>A possible immediate solution to reducing</b></p>	<p>We have tried this approach. Until recently</p>	<p><b>Tom Wanyama</b> - We intend to take no</p>	<p>Not applicable.</p>

<b>sessionals in the AET program could be to ensure that Mohawk instructors teaching courses and labs at McMaster do have these courses counted toward their overall teaching load at Mohawk.</b>	we had four Mohawk instructors with their teaching load counted towards the college load. This incentive was ended because it had many administrative complications.	specific action on this suggestion because we tried it and did not work out well.	
<b>Occasional class sizes of 150 were mentioned as a problem during interviews with faculty and students, which the reviewers agree is rather too high and recommend being avoided.</b>	Our largest class is 120 students for lectures with two tutorials of 60 students each. We believe this is an appreciate class size. We will discuss with instructors o determine any changes to the class sizes.	<b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to ensure that classes have appropriate sizes.	Not applicable.
<b>The reviewer team recommends that the ECCS office along with the teaching faculty should continue their effort in finding CO-OP opportunities for all the eligible students by intensifying employer awareness and involving industry more heavily in capstone projects.</b>	This is a valuable recommendation that we are aware of. We have monthly team meetings where coop is discussed. There is an ECCS representative.	<b>Tom Wanyama</b> - We will continue to engage ECCS, our community partners, and Program Advisory Committee members to find coop opportunities for our students	Not applicable.
<b>Alumni interviewed wished that there exists more active engagement with McMaster as not so many of them have been contacted since graduating. The reviewer team recommends that McMaster put in place an exit survey and/or any other necessary process to engage with the alumni of the AET program.</b>	The is a valuable recommendation that is beyond the role of the Program Chair.	<b>Tom Wanyama</b> - The Program Chair will bring it to the attention of the Director.	December 2021
<b>The reviewers recommended that a</b>	The is a valuable recommendation that the	<b>Tom Wanyama &amp; Michael Justason</b>	December 2022

<p><b>formal standard process for introducing sustainability principles into courses be developed by the program chair in coordination with the advisory committee and communicated to all the instructors.</b></p>	<p>Program Chair will follow up on by drafting a standard process for introducing sustainability principles into courses and bring to the advisory committee for discussion. Once approved the process will be communicated to all instructors.</p>	<p>Draft a standard process for introducing sustainability principles into courses.</p> <p>Bring the process to the advisory committee for discussion.</p> <p>Communicate final process to instructors.</p> <p>Review the implementation of the process.</p> <p>This can be done in conjunction with the new course, GENTECH 1BZ3 – Foundations of Business, where the concept of Sustainability is introduced to the students.</p>	
<p><b>To make the governance more consultative and inclusive, the reviewers recommended that the steering committee considers the inclusion of student representatives (alumni and/or current students) either the McMaster-Mohawk Joint Meetings, and/or the Program Advisory Committee.</b></p>	<p>Membership of the steering committee is beyond the Program Chair's role, but the issue will be brought to the Director. Including students on the PAC committee will be discussed with the committee members.</p>	<p><b>Tom Wanyama</b> - Include expanding PAC committee membership to include student representation in the PAC meeting agenda.</p>	<p>December 2021</p>
<p><b>Provide opportunities of online learning in post-pandemic to support continuing blended delivery of content.</b></p>	<p>The effort to provide online learning resources in the AET program did not start due to COVID-19. The pandemic only accelerated this effort. We started offering remote lab access in 2015 for</p>	<p><b>Tom Wanyama</b> - We intend to take no specific action on this suggestion, but we will continue to increase online</p>	<p>September 2022</p>

	<p>PROCTECH4AS3. In 2018 we started developing the take home labs used in ENGTECH1EL3 and PROCTECH2EE3. We have now expanded this program to include SRMTTECH3CC3 and SMRTTECH3DE3.</p> <p>We will review other courses for which online resources and be developed and engage the associated instructors.</p>	<p>resources for our students.</p> <p>We create a budget item to support continuous development and use of online learning resources.</p>	
<p><b>Invite guest lecturers in courses taught by regular teaching track faculty.</b></p>	<p>This is a valuable recommendation. It will be discussed with instructors and community partners to create an AET lecture series.</p>	<p><b>Tom Wanyama</b> - Create a program for inviting guest lecturers.</p>	<p>September 2022</p>

#### **Dean's Response**

It is clear that the reviewers dug into the program in a great deal of depth. Program responses are very appropriate and it is clear that the feedback will be implemented. In cases where no action will be taken, the department has provided a thoughtful response; in cases where there are changes to be implemented, the department has put into place a clear implementation plan. Additional staffing was again discussed, suggesting that there is a clear need. Overall, like other B.Tech programs, this one is strong.

#### **Quality Assurance Committee Recommendation**

**McMaster's Quality Assurance Committee (QAC) reviewed the above documentation, and the Committee recommends that the B.Tech. Automation Engineering Technology program should follow the regular course of action with an 18-month progress report and a subsequent full external cyclical review to be conducted 7 years after the start of the last review.**

## **FINAL ASSESSMENT REPORT**

### **Institutional Quality Assurance Program (IQAP) Review**

#### **Automotive & Vehicle Engineering Technology (AVT)**

**Date of Review: May 18 - 19, 2021**

*In accordance with the University Institutional Quality Assurance Process (IQAP), this final assessment report provides a synthesis of the external evaluation and the internal response and assessments of the Bachelor of Technology (B.Tech) Automotive and Vehicle Engineering Technology (AVT) Program. This report identifies the significant strengths of the program, together with opportunities for program improvement and enhancement, and it sets out and prioritizes the recommendations that have been selected for implementation.*

*The report includes an Implementation Plan that identifies who will be responsible for approving the recommendations set out in the Final Assessment Report; who will be responsible for providing any resources entailed by those recommendations; any changes in organization, policy or governance that will be necessary to meet the recommendations and who will be responsible for acting on those recommendations; and timelines for acting on and monitoring the implementation of those recommendations.*

#### **Executive Summary of the Review**

In accordance with the Institutional Quality Assurance Process (IQAP), the W Booth School of Engineering Practice and Technology submitted a self-study in April 2021 to the Vice-Provost Faculty to initiate the cyclical program review of the B.Tech. Automotive and Vehicle Engineering Technology program. The approved self-study presented program descriptions, learning outcomes, and analyses of data provided by the Office of Institutional Research and Analysis. Appendices to the self-study contained the CVs for each full-time member in the department.

Two arm's length external reviewers and one internal reviewer were endorsed by the Faculty Dean, W Booth School of Engineering Practice and Technology, and selected by the Vice-Provost Faculty. The review team reviewed the self-study documentation and then conducted a review on May 18-19, 2021. The review included interviews with the Provost and Vice-President (Academic), Faculty Dean, Vice-Provost Faculty, Associate Dean Academic, Program Chair of the B.Tech. Automotive and Vehicle Engineering Technology Program within the W Booth School of Engineering Practice and Technology and meetings with groups of current students, full-time faculty and support staff.

The Program Chair of the B.Tech. Automotive and Vehicle Engineering Technology program and the Dean of the Engineering submitted responses to the Reviewers' Report (January 2022). Specific recommendations were discussed, and clarifications and corrections were presented. Follow-up actions and timelines were included.

The reviewers were very positive about the Automotive and Vehicle Engineering Technology (AVT) program. The AVT program provides a rich student experience in the business and engineering technology domains. The engagement and interactions between McMaster University and Mohawk College are strong (and unique), with additional programs under development. The B.Tech. program family may serve to be a roadmap for other institutions, and McMaster should be proud of this.

Based on the program review, more joint activities between the professional / business aspects with the technical courses needs to be incorporated, and the number of sessional instructors should continue to be reduced where possible. No major issues with respect to admissions, governance, and other auxiliary program support are noted; however, suggestions to improve the program are provided, especially as there is potential to expand the AVT program, and the resources are heavily utilized at the present.

**The following program strengths were identified:**

- Graduates are exposed to experiential learning activities with hands-on labs, co-op placements, and challenging capstone projects.
- Multi-disciplinary knowledge is gained in the technical and business domains.
- The Automotive and Vehicle Engineering Technology (AVT) instructors have many years of industrial experience and are passionate about this program.
- The students are employed in related fields within a few months of graduation and are remunerated well. Graduates may continue to graduate studies programs.

**The following areas of improvement were suggested:**

- Introduce an optional program extension of one term that incorporates the courses that the PEO would consider acceptable for program accreditation.
- Additional technical elective courses could be drawn from Faculty of Engineering portfolio.
- Create a 'super course' for each year that combines the content from several complementary courses including business and professional course elements.
- Upgrade materials, manufacturing, and controls-based labs to allow more diverse experimental activities, and program expansion.
- Encourage local industrial supported projects for the capstone projects.
- Develop an internal enterprise-based coop program.
- Use "Kira Talent" for admissions evaluation.
- Better integration of the GENTECH courses and the technical courses.
- Continue to reduce sessional instructors where possible (primarily in the business program).
- Increase the number of tutorial hours for our courses.
- The website info, and support response times are flagged as issues in the Student Satisfaction surveys and should be addressed.

- An orientation session for the sessional instructors should be provided to streamline start of term activities and to ensure general program information is provided.

More specific areas program enhancement described in the report are directly reflected in the recommendations, discussed below.

#### Implementation Plan

Recommendation	Proposed Follow-Up	Responsibility for Leading Follow-Up	Timeline for Addressing Recommendation
<p><b>Introduce an optional program extension of one term that incorporates the courses that the PEO would consider acceptable for program accreditation.</b></p>	<p>We suspect that the reviewers did not have the full picture of PEO and CEAB's responsibilities. Program accreditation is the responsibility of CEAB not PEO. Currently, PEO has assigned "5 confirmatory exams" to our graduates. There are previous PEO exam questions posted online available. Also, there are PEO preparation courses available from organizations such as OSPE (Ontario Society of Professional Engineer). Since the number of students interested in getting their P.Eng. varies every year, it is much more cost effective for our students to enroll into the OSPE courses than us creating an additional 1-year program for PEO exams preparation.</p>	<p>AVT Program Chair to inform Level 4 students about the resources available to help students prepare for their PEO confirmatory exams.</p>	<p>Start sharing resources to Level 4 students via AUTOTECH 4CI3 course in Fall 2022.</p>
<p><b>Additional technical elective courses could be drawn from Faculty of Engineering portfolio.</b></p>	<p>We agree with the reviewers' comments and we can add more technical electives. Currently the following 3 technical elective courses from other B.Tech. programs are available to our students to take. We will continue to investigate increasing the</p>	<p>AVT Program Chair to discuss with faculty members to identify new technical electives and propose to</p>	<p>Submit new technical electives in Fall 2022.</p>



	<p>number of these technical electives in the future.</p> <ol style="list-style-type: none"> <li>1. MANTECH 4MM3 - Design and Manufacturing of Machine Elements</li> <li>2. PROCTECH 4MH3 - Machine Health and Remote Monitoring</li> <li>3. SFWRTECH 4AI3 - Artificial Intelligence.</li> </ol>	curriculum committee.	
<p><b>Create a ‘super course’ for each year that combines the content from several complementary courses including business and professional course elements.</b></p>	<p>Currently, the Capstone Design courses are being used as a platform for our students to integrate their theoretical knowledge, technical skills and their management skills. In this course, 2 to 3 students would form a project group, and some would take on the role of the project manager and some would be the mechanical designer or software programmer. The idea is that students would apply knowledge and skills they have gained in their technical or management courses to design and build an integrated system.</p>	<p>AVT Program Chair and the Business and Management Chair to meet and discuss possibilities of eliminating existing course(s) and adding super course(s) to our curriculum.</p>	<p>Propose changes (if any) to faculty curriculum committee in Fall 2022.</p>
<p><b>Upgrade materials, manufacturing, and controls-based labs to allow more diverse experimental activities, and program expansion.</b></p>	<p>We agree with the reviewers’ comments. We will carefully consider upgrading the equipment in our labs.</p>	<p>AVT Program Chair to discuss with faculty members to identify new lab equipment to purchase and propose to school via annual budget in Dec 2022.</p>	<p>Submit new equipment budget in Dec 2022.</p>
<p><b>Encourage local industrial supported projects for the capstone projects.</b></p>	<p>We do encourage locally supported projects. Every year, a list potential projects from local industries and hospitals are given to our</p>	<p>We are already doing what was recommended. No new actions required.</p>	<p>Ongoing effort. No action dates required.</p>

	capstone projects students to choose from.		
<b>Develop an internal enterprise-based coop program.</b>	We already have a very close relationship with Mohawk College. On top of this, we are well connected with our alumni. Many of our alumni hired our students for co-op. Co-op numbers are very encouraging in recent years.	We are already doing what was recommended. No new actions required.	Ongoing effort. No action dates required.
<b>Use "Kira Talent" for admissions evaluation.</b>	We agree that Kira Talent is a useful tool for evaluating applicants for admissions into Level 1.	The Faculty of Engineering has already decided to use Kira Talent as part of a Supplementary Application for B.Tech. No new actions required.	We will use Kira Talent for Fall 2022 admissions.
<b>Better integration of the GENTECH courses and the technical courses.</b>	We agree with the reviewers' comments. This recommendation #8 is related to #3 above.	AVT Program Chair and Management Chair to meet and discuss possibilities of a better integration of our GENTECH courses and technical courses.	Propose new course(s) or changes to faculty curriculum committee in Fall 2022.
<b>Continue to reduce sessional instructors where possible (primarily in the business program)</b>	The high number of sessional instructors teaching our management courses could represent a challenge for integrating the business and technical elements of the program. We will continue to reduce the number of sessional instructors.	Ongoing effort.	Ongoing effort.

<b>Increase the number of tutorial hours for our courses</b>	Currently most of our tutorials are scheduled for our Level 2 courses with enrollment numbers close to 100 students. When class size starts to get bigger in our Levels 3 and 4 courses, it would a good idea to start introducing tutorials in our higher-level courses.	AVT Program Chair to monitor class size and identify needs for adding new tutorials.	Ongoing effort.
<b>The website info, and support response times are flagged as issues in the Student Satisfaction surveys and should be addressed.</b>	We update our website information frequently and we work very hard to improve our support response time. For example, as the program chair, I typically response to my students' emails within 12 hours.	Ongoing effort. No new actions required.	Ongoing effort.
<b>An orientation session for the sessional instructors should be provided to streamline start of term activities and to ensure general program information is provided.</b>	An instructors' orientation meeting is held at the beginning of each term. We always encourage our faculty members and sessional instructors to attend these meetings.	Ongoing effort. No new actions required.	Ongoing effort.

#### **Dean's Response**

It looks terrific - the responses are well thought out. I particularly liked your response around accreditation of the program. However, perhaps we can explore the PEO comment more. I agree with your take that the OSPE courses are likely the best option but if there are opportunities for us, perhaps we can consider them. If I am naive in this, of course please let me know.

#### **Quality Assurance Committee Recommendation**

**McMaster's Quality Assurance Committee (QAC) reviewed the above documentation, and the Committee recommends that the B.Tech. Automotive and Vehicle Engineering Technology program should follow the regular course of action with an 18-month progress report and a subsequent full external cyclical review to be conducted 7 years after the start of the last review.**

## **FINAL ASSESSMENT REPORT**

### **Institutional Quality Assurance Program (IQAP) Review**

#### **Civil Engineering Infrastructure Technology**

**Date of Review: June 15, 2021**

*In accordance with the University Institutional Quality Assurance Process (IQAP), this final assessment report provides a synthesis of the external evaluation and the internal response and assessments of the Bachelor of Technology (B.Tech) Civil Engineering Infrastructure Technology Program. This report identifies the significant strengths of the program, together with opportunities for program improvement and enhancement, and it sets out and prioritizes the recommendations that have been selected for implementation.*

*The report includes an Implementation Plan that identifies who will be responsible for approving the recommendations set out in the Final Assessment Report; who will be responsible for providing any resources entailed by those recommendations; any changes in organization, policy or governance that will be necessary to meet the recommendations and who will be responsible for acting on those recommendations; and timelines for acting on and monitoring the implementation of those recommendations.*

#### **Executive Summary of the Review**

In accordance with the Institutional Quality Assurance Process (IQAP), the W Booth School of Engineering Practice and Technology submitted a self-study in April 2021 to the Vice-Provost Faculty to initiate the cyclical program review of the B.Tech. Civil Engineering Infrastructure Technology completion program. The approved self-study presented program descriptions, learning outcomes, and analyses of data provided by the Office of Institutional Research and Analysis. Appendices to the self-study contained the CVs for each full-time member in the department.

Two arm's length external reviewers and one internal reviewer were endorsed by the Faculty Dean, W Booth School of Engineering Practice and Technology, and selected by the Vice-Provost Faculty. The review team reviewed the self-study documentation and then conducted a review on June 15, 2021. The review included interviews with the Provost and Vice-President (Academic), Faculty Dean, Vice-Provost Faculty, Associate Dean Academic, Program Chair of the B.Tech. Civil Engineering Infrastructure Technology Program within the W Booth School of Engineering Practice and Technology and meetings with groups of current students, full-time faculty and support staff.

The Program Chair of the B.Tech. Civil Engineering Infrastructure Technology Program and the Dean of the Engineering submitted responses to the Reviewers' Report (November 2021 and April 2022, accordingly). Specific recommendations were discussed, and clarifications and corrections were presented. Follow-up actions and timelines were included.

The McMaster-Mohawk Bachelor of Technology (B.Tech.) Partnership is a successful university/college relationship that has a unique position in Canada. This collaboration gives the opportunity to students with an Advanced Diploma from Mohawk (or from another College) to pursue a Degree Completion Programs (DCP) in McMaster University to obtain a Bachelor of Technology (B.Tech.) degree in Civil Engineering Infrastructure Technology (CIV). It also provides a strong emphasis on management as students are required to take several management courses in addition to the technical courses. This results in a unique skill set that is highly attractive for employers. The B.Tech. in Civil Engineering Infrastructure Technology at McMaster University is a niche program, providing a high value-added to society by teaching technical and business skills to students who had previously completed college diplomas in Civil Engineering Technology, Architectural Technology, or Construction Engineering Technology.

The B.Tech. in CIV has been offered since 2006. In the past five years, the CIV program has produced 121 B.Tech. graduates. In Fall 2020, CIV's student population consisted of 142 students. CIV offers students a B.Tech. program in the area of Civil Engineering Infrastructure technology. CIV's program provides practical training, and the students are able to work during their studies. In the past five years, the number of Civil Engineering Infrastructure Technology students classified as 'part-time' ranged from 46-53% of the total, with the remainder classified as 'fulltime'. All CIV courses run during weekday evenings (6:30 – 9:30 pm) and on Saturdays (9:00 am – 12:00 pm or 1:00 pm – 4:00 pm) during the day for 12 months of the year, to accommodate working professionals. Some students completing the B.Tech. have gone on to pursue graduate school; some are pursuing licensure as professional engineers (P.Eng.); others are going on to technical careers in the civil engineering domain. The program was initially conceived to serve the Infrastructure Repair and Rehabilitation market, although the extent to which it is doing so is unclear.

Enrollment in the program has increased by approximately 25% since 2015/16. The results from a comprehensive in-course survey show a student satisfaction rate of over 60%, although this is a survey across all B.Tech. programs, and there is no specific data for the Civil Engineering Infrastructure Technology program.

In the past five years, the most significant update for the Civil Engineering Infrastructure Technology program was the 2018 PEO ARC (Academic Requirements Committee) Report and review of the program, which created a pathway of graduates to potential P.Eng. licensure: graduates of the Civil Engineering Infrastructure Technology program can now satisfy the PEO's academic requirements if they pass five PEO technical exams and submit a copy of a technical report. CIV is a unique technology program in Canada. It plans to continue being a leading program in Canada by continuing a direct interaction with the Professional Engineers of Ontario to facilitate the licensing of its graduates as P.Eng. This aspiration is consistent with the goals of McMaster University (to be recognized as one of the top innovation universities in the world) and the Faculty of Engineering (to make McMaster Engineering a truly world-class school of engineering) and attract outstanding students, employers, employees and partners around the globe.

Seventy-five percent of the Civil Engineering Infrastructure Technology are taught by sessional instructors. While sessional instructors from industry greatly contribute to the B.Tech. program, the quality, reputation, and consistency of course offerings may be improved if a further permanent instructor teaches the program. Further suggested enhancements to the program include expansion of technical elective offerings, increase of program admission cut-off, and maintenance of consistency in sessional lectures. For example, the expansion of technical elective offerings can be achieved by allowing the students to take some courses offered on Campus by other degree programs during regular working hours. Further flexibility to students could be achieved by enabling students to take asynchronous online courses or sections of courses.

**The following program strengths were identified:**

- The Program is unique in Canada and successful
- The Program produces graduates with an attractive mix of business and technical education that is in-demand by employers
- The Program has continued to grow since its inception in 2006
- Student satisfaction is high
- The Program was reviewed by the PEO ARC in 2018 and a prescribed pathway exists for graduates in pursuit of their P.Eng. (5 Exams + Report, with potential for only 2 Exams with 'good performance')
- The delivery and quality of the Program is consistent with McMaster's strategic priorities
- The Program structure offers a unique value proposition to students who are working full-time or part-time
- The Program has many highly skilled part-time lecturers (most working in relevant industry positions)
- Students appear happy with the quality of teaching
- The Program maintains relatively small class sizes (20-50)
- The physical space provided for the Program is adequate
- Morale among Staff seems high
- Graduates of the Program seem highly employable in addition to being capable of pursuing further studies (M.Eng., M.A.Sc., etc.)

**The following areas of improvement were suggested:**

- Add a second full-time Faculty member dedicated to the CIVTECH Program
- Expand the number of technical electives available to the CIVTECH students
- Offer some courses as blended in-person/virtual or completely asynchronous-online
- Increase admission cut-off average
- Maintain consistency in sessional lecturers / annual reviews for sessional lecturers
- Clarity on the rules surrounding the 're-taking' of courses for students who are not successful – request for clarity in the McMaster Course Calendar
- TAs appear under-utilized

- Negotiate with the PEO to further reduce the number of Exams for CIVTECH graduates
- Increase the number of courses offered at the 400/600 Level to improve the pathway to an M.Eng. Degree within the W Booth School

More specific areas program enhancement described in the report are directly reflected in the recommendations, discussed below.

### Implementation Plan

Recommendation	Proposed Follow-Up	Responsibility for Leading Follow-Up	Timeline for Addressing Recommendation
<b>Add a second full-time Faculty member to the Program</b>	This recommendation requires approval at the Faculty Level. The possibility of expanding the number of full-time Faculty members will be discussed with the Director of the W Booth School who will decide if this is possible.	M Justason / Brian Baetz	July 2022+
<b>Expand the number of technical electives available to the CIVTECH students</b>	Currently, CIVTECH students may choose one technical elective outside the CIVTECH Program (from Manufacturing, Software, or Power & Energy). The possibility of taking a technical elective (in the daytime) will be discussed with the Chair of the Dept. of Civil Engineering.	M Justason	July 2022, earliest implementation would be Sept. 2023
<b>Offer some courses as blended in-person/virtual or completely asynchronous-online</b>	Expertise related to this recommendation has been developed because of COVID-19. Students are already familiar with online and virtual learning as part of the GENTECH curriculum. A virtual/online conversion will be proposed to current long-serving sessional lecturers of the technical courses and,	M Justason	July 2022, earliest implementation would be Sept. 2023

	<p>where appropriate, courses will be converted to online/virtual/or blended. Funding for this conversion would be required to ensure proper pedagogical practices. Courses may also be offered as 'hybrid' courses during a transition period. The idea of moving the entire CIVTECH Program to an online program will be discussed at the next Industry-Advisory Committee meeting.</p>		
<b>Increase admission cut-off average</b>	<p>The admission cut-off average has been increased from 75% to 80%, effective for the Fall 2022 intake.</p>	M Justason	Complete – _will be effective Sept. 2022.
<b>Maintain consistency in sessional lecturers / annual reviews for sessional lecturers</b>	<p>This recommendation is appropriate and currently being done within the framework of the sessional contracts and the available feedback mechanisms. Most sessional instructors are long-serving and of high quality. In the past, CIVTECH students have been vocal when they felt course instruction was not of sufficient quality. An atmosphere where students feel comfortable making these types of complaints will continue to be cultivated.</p>	M Justason	Ongoing
<b>Clarity on the rules surrounding the 're-taking' of courses for students who are not successful – request for clarity in the McMaster Course Calendar</b>	<p>B.Tech. students currently follow the same rules for continuation in their Program (and repeating courses) as Engineering students. An inquiry/attempt will be made to clarify these requirements in the McMaster Course Calendar.</p>	M Justason / Sarah Sullivan	September 2022 (next Course Calendar review)



<b>TAs appear under-utilized</b>	The Program Chair will communicate this observation to the CIVTECH sessional instructors and request that they consider making greater use of their TAs. Where appropriate, permission to hire Graduate TAs from the Dept. of Civil Engineering will be investigated.	M Justason / Sarah Sullivan	January 2022
<b>Negotiations with the PEO to further reduce the number of Exams</b>	A re-review of the Program by the PEO is due in 2021. The Program Chair has been in communication with the PEO and is awaiting further instructions (the 2018 review had a term of 3-years). The PEO ARC (Academic Requirements Committee) is unlikely to change the current prescription of 5-Exams + Report (2-Exams are <i>possible</i> for 'good-performance'). This is a favourable assessment for a College-to-University Program. There has not been any significant change to the CIVTECH curriculum since the 2018 review. There is little justification to negotiate fewer Exams; unless, the PEO has seen very strong performance from CIVTECH applicants on their Exams.	M Justason	2021-2022 (depending on the PEO ARC)
<b>Increase in 400/600 Level Courses</b>	This is an excellent suggestion, and it will be explored. Currently, CIVTECH students can take 3 courses at the 400/600 level (Project Mgmt; Building Science; and Technical Communications). A fourth course has been proposed (Entrepreneurship) and may be added to the curriculum in 2022/23. Adding additional courses at the	M Justason / Vlad Mahalec	September 2022 or 2023, pending the deadline for curriculum changes affecting the School of Graduate Studies

	400/600 level will be investigated in collaboration with the Associate Director of Graduate Programs.		
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#### **Dean's Response**

The comments of the reviewers are for the most part consistent with the reviews of the other programs, highlighting the need for additional full time faculty members and the need for new staff. The comments about the PEO are appropriate and I am pleased that we are looking to reduce the number of exams required for these students. The addition of new courses is an excellent suggestion - it may be prudent to consider looking to programs outside of the Booth School and crosslisting since many of the courses may be available in other departments in the Faculty.

#### **Quality Assurance Committee Recommendation**

**McMaster's Quality Assurance Committee (QAC) reviewed the above documentation, and the Committee recommends that the B.Tech. Civil Engineering Infrastructure Technology program should follow the regular course of action with an 18-month progress report and a subsequent full external cyclical review to be conducted 7 years after the start of the last review.**

**REPORT TO SENATE**  
*from the*  
**GRADUATE COUNCIL**

**For Information**

**I. Faculty of Engineering**

At its meeting on April 18<sup>th</sup> Graduate Council approved the following changes:

- A change to the text around the duration of co-op placements for graduate students in the Faculty to allow more flexibility in the length of placements;
- A change to the text of the Master of Engineering and Public Policy calendar copy, removing the statement indicating that denied applicants should reach out to the associate director for a live interview as the program now uses Kira services for interviews;
- The addition of a recommended elective for the Biomanufacturing stream in the Master of Engineering Manufacturing Engineering program;
- A change to course requirements, switching a required course and elective for the Master of Engineering and Public Policy program;
- The addition of two courses as options for the core course requirement for the Digital Manufacturing and Automation and Smart Systems streams in the Master of Engineering in Systems and Technology;
- The removal of one course and the addition of another as options for cross-disciplinary electives for the Master of Engineering in Systems and Technology;
- The removal of one course as an option to complete the core course requirement for the Digital Manufacturing stream of the Master of Engineering in Systems and Technology.
- A change to the reduction in the number of required courses for the Ph.D. in Civil Engineering to a minimum of 2 half courses at the 700 level. Students who have not previously completed the master's degree will be required to take a minimum of 4 half courses at the 700 level;
- A change to the comprehensive examination procedure for the Ph.D. in Civil Engineering, removing the requirement for a second part. The single examination will consist of a written and oral portion.

**II. Faculty of Health Sciences**

At the same meeting Graduate Council approved the following changes:

- A change to the elective list for the Master of Public Health program to clarify the courses that are acceptable for students to fulfill the requirement.

**III. Faculty of Humanities**

At the same meeting Graduate Council approved the following changes:

- A change to the course requirements for the Ph.D. in Communication, New Media and Cultural Studies to remove two course as options for the 4 required courses. The overall number of required courses remains the same;
- A change to the grading basis for the comprehensive examination for the Ph.D. in Communication, New Media and Cultural studies, moving from a letter grade to a Pass/Fail;
- The elimination of the second-language requirement for the English Ph.D., unless the project dictates/required by the supervisory committee;
- Streamlining and clarifying the calendar copy for the English Ph.D.;
- The addition of Greek and Roman Studies to the list of departments whose Ph.D. students are eligible to complete the Gender and Social Justice Graduate Diploma;
- A change to the course requirements for the Gender and Social Justice M.A. program, removing a 6-unit course from the list of required courses and moving those units to elective courses;
- A change to the language requirement for the Ph.D. in History, which, rather than specifying additional languages required will now note that Ph.D. students must be able to read the languages required for their dissertation research. What those languages are and the way in which language proficiency is to be determined in consultation with the supervisor, to be reviewed by the Graduate Chair;
- A change to the calendar copy for the Ph.D. in Philosophy clarifying the existing process and procedure for determining competence in a particular skill needed for their thesis research (e.g. formal logic) before taking their qualifying examination.

[Note: A complete file for the information items listed above is available in the Graduate Council office, [cbryce@mcmaster.ca](mailto:cbryce@mcmaster.ca).]

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

**FOR INFORMATION**

**I. Terms of Award**

At its meeting on April 18, 2023, the Undergraduate Council approved one new award, changes to three award terms, two curriculum changes in the award terms, one new bursary, changes to two bursary terms and four awards or academic grants to be removed from the Undergraduate Calendar. Name changes and award value changes were also received by Undergraduate Council for information.

**a. New Award**

The Sara Etehadolhagh Memorial Scholarship

**b. Changes to Award Terms**

The Tony Dean Scholarship in Work and Labour Studies

The Rosemary Douglas-Mercer Memorial Prize

The Edgar Lee Ware Memorial Award

**c. Curriculum Changes in Award Terms**

Department of Biology

School of Labour Studies

**d. New Bursary**

The Khaled Hassanein and Hoda Kamel Bursary

**e. Changes to Bursary Terms**

The James E Grader Memorial Bursary

The Eric Schlichting Memorial Bursary

**f. Awards and Academic Grants Removed from the Undergraduate Calendar**

The Steve Baxter Memorial Scholarship (20008739)

The Canadian Process Control Association Academic Grant (10773125)

The Jennifer Dunn Geology Scholarship (10773231)

The Christine Ditta Memorial Award (20008726)

**II. Addenda to Curriculum Revisions for Inclusion in the 2023-2024 Undergraduate Calendar**

At the same meeting, the Undergraduate Council approved a minor curriculum revision for inclusion in the 2023-2024 Undergraduate Calendar, as recommended by the Arts & Science program.

**III. IQAP Cyclical Program Reviews**

At the same meeting, the Undergraduate Council received the IQAP Cyclical Program Reviews for information.

Documents detailing items for information are available for review on the [Secretariat's website](#).

**Senate: FOR INFORMATION  
May 17, 2023**

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

**Open Session (Regular Agenda)**

At its meeting on April 19, 2023, the University Planning Committee approved the following recommendations and now recommends them to Senate for approval:

**Approval**

**i. Proposal for Centre for Research on Community Oriented Entrepreneurship (CRCE)**

The goal of the Research Centre for Community Oriented Entrepreneurship (CRCE) is to positively impact entrepreneurs as measured by their quality of life, employment, income, community development, sustainability, and personal and community health and well-being. This will be measured and facilitated through the integration of an entrepreneurial virtual ingenuity incubator and training, along with expanding participation from NGOs and other community stakeholders in Hamilton, Canada, and worldwide.

The University Planning Committee now recommends,

**that Senate approve, for recommendation to the Board of Governors, the establishment of the Centre for Research on Community Oriented Entrepreneurship (CRCE), as circulated.**

**ii. Report from Graduate Council**

At its meeting on March 21, 2023, Graduate Council approved the cancellation of the Advanced Neonatal diploma. The cancellation of the Advanced Neonatal Nursing Diploma includes both the Masters of Science Neonatal Nursing Stream and the Post-Master's Degree Diploma.

The University Planning Committee now recommends,

**that Senate approve the cancellation of the Advanced Neonatal Nursing diploma, as circulated.**

**Information**

**iii. Research Centres & Institutes Annual Report 2022**

At its meeting of April 19, 2023, the University Planning Committee received the 2022 Research Centres & Institutes Annual Report.

**SENATE: FOR APPROVAL/ INFORMATION  
May 17, 2023**



Date: March 29, 2023

TO: University Planning Committee

FROM: Karen Mossman, Vice-President, Research



**RE: Centre for Research on Community Oriented Entrepreneurship (CRCE)**

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The Committee on Research Institutes, Centres and Groups (CRI) has reviewed and unanimously approved the attached establishment proposal for the Centre for Research on Community Oriented Entrepreneurship (CRCE).

Please include this as an agenda item for the next University Planning Committee Meeting on April 19, 2023.

KM:jt

Attach.

cc: Provost and Vice-President (Academic)  
Vice-Provost and Dean of Graduate Studies  
Dean, DeGroote School of Business  
Dean, Engineering  
Dean, Humanities  
Dean, Social Sciences  
University Secretariat

## Overview

Proposal for the Establishment of ...

Institute  Centre

Official Name of Research

Institute or Centre Centre for Research on Community Oriented Entrepreneurship (CRCE)

The RCI will report to  
which Faculty?

DeGroote School of Business

List all other Faculties that have a significant interest in  
the RCI and confirm they will be represented on the  
Governing Board

Engineering, Social Sciences, and Humanities

### **Core Members**

Definition of Core member: A core member of the CRCE will be a leading expert that contributes to the research goals and mandate of the centre. Through their involvement in CRCE research and activities, core members will contribute to and benefit from enhanced access to community stakeholders, participating entrepreneurs, research infrastructure and the network of international scholars collaborating with the CRCE. Membership in CRCE will facilitate the creation of new interdisciplinary research projects and partnerships with industry, the public sector and non-profit organizations. In addition, CRCE formation will effectively demonstrate capacity for research, institutional support and commitment to attract international collaborations and make McMaster a world leader in community-oriented entrepreneurship. Core members will consist of researchers who are leading experts in the CRCE's areas of research. This team is already leading and coordinating initiatives that will be formalized through the formation of CRCE to provide them with centralized resources that will allow them to increase their collaboration and collective impact on the development of leading edge social and community-oriented entrepreneurship. Membership includes faculty members from the university as well as research partners and community members from other institutions or organizations who are committed to research collaboration and have a record of excellence in research or service related to the mandate of the centre.

Obligations for Core Members: Core members are expected to have expertise in at least one area of research related to the CRCE. They are expected to participate in CRCE research activities, collaborate with other CRCE members and contribute to the centre operating costs through user fees and grant proposals operational costs. Core members with an international focus in their research will help to ensure that the centre research considers and is transferable to international contexts thereby enhancing impact. They will also participate in future CRCE training programs and relevant conferences, including those held at McMaster, to be sponsored and organized by CRCE in addition to those within their respective domains. As well, core members will be responsible for ensuring EDI in terms of diversity of scholarly activities and for the expansion and inclusion of other scholars and practitioners as members of the centre.

Operational roles assigned to core members:

The Director is primarily responsible for overseeing and coordinating the policy research of the organization, supervising the policy staff, leading quality control efforts, developing policy reports on topics not covered by other members of the policy team, and assisting organizational leadership in the development. The Director will provide expert advice to both students and faculty on appropriate research methodologies and ensure that their research projects are carried out to completion. The Director will maintain the membership list and will seek input from the Advisory Committees and the Governing Board. Research staff and students who work for

the Centre will report to the Centre’s Director (or relevant Core/Associate members) and support the team in planning, implementing and overseeing the activities of CRCE. Regular centre membership meetings will occur to facilitate ongoing coordination and communication. The Director will be a faculty member of the Faculty of the DSB who will be appointed for a five-year, renewable term by the Senate and Board of Governors upon the recommendation of the Dean of the DSB to whom the Director will report. The Director will set the agenda for the Centre in consultation with the Governing Board and Internal and External Advisory Boards. The Director will report directly to the Dean of the DSB, with whom final authority for all matters regarding the direction and operation of the Centre rests and will work in collaboration with the Associate Dean (Research) of the DSB. The Director will submit a written report annually to the Governing Board, which will be chaired by the Dean of the DSB (or delegate). This report will also inform the annual reporting and five-year external review process required of all McMaster RCIs.

Dr. Benson Honig, Teresa Cascioli Chair in Entrepreneurial Leadership, DeGroot School of Business, McMaster University is a strong candidate to serve as Director.

Under the general direction of the Director of the CRCE, the Associate Director provides research expertise, program management, and coordination for the research programs of the CRCE. Selection of the AD will be the responsibility of the Governing Board and will occur subsequent to a search undertaken by the Director and approved by the Governing Board. This position is responsible for research project coordination and reporting, the creation of new research opportunities, industry partnerships, and cross-faculty research cluster coordination. The Associate Director will play a critical leadership role in supporting and advancing the CRCE research portfolio, working closely with the director to ensure short and long-term strategic priorities. The AD will maintain a comprehensive awareness of available research opportunities and funding and review and also monitor and address EDI issues to ensure a diversity of scholarship or concerns that arise where the Director may have a conflict of interest.

The AD will facilitate activities, including leading, organizing, and managing research activities of the Institute; leading special research projects/operations which may be ongoing or new and which require innovation, leadership, and coordination; serving as a resource to faculty and staff on matters relating to strategic research initiatives and partnerships with academia and communities. The AD will also facilitate Research Opportunities Creation, including providing program leadership in research opportunities and organizing teams to respond to provincial and federal agency research calls; team building and mentoring of young faculty; and leading faculty research clusters. As well, the AD will support research outreach, including partnerships with NGOs and communities; and serve as a resource to potential and current program participants, corporations, state agencies, and other organizations and individuals on matters related to the Centre’s research program and activities. AD is to be named subsequent to discussions with Dean and Assoc. Dean of Research.

**Core Members:**

<b>Name</b>	<b>Faculty</b>	<b>Expertise and potential roles in RCI operations</b>
<b>Benson Honig</b>	DSB	Social Entrepreneurship, Nascent entrepreneurship, International Development, Community outreach
<b>Sash Vaid</b>	DSB	Data analytics
<b>Khalid Nainar</b>	DSB	Experimental economics
<b>Emad Mohammed</b>	DSB	Financial performance
<b>Baniyelme Zoogah</b>	DSB	Africa, environmental management
<b>Yoontae Jeon</b>	DSB	Blockchain
<b>Sandeep Raha</b>	Health Science	Community Outreach (MCYU)
<b>Trish Ruebottom</b>	DSB	Stigma, Organizational Theory
<b>Addisu Lashitew</b>	DSB	Social value creation
<b>Brent McKnight</b>	DSB	Sustainable communities
<b>Jacques Carette</b>	Engineering	Programming

<b>Jelle Hellings</b>	Engineering	Data management systems
<b>James Gillett</b>	Social Sciences	Media and communications
<b>Nancy Doubleday</b>	Humanities	Social-cultural-ecological systems
<b>Ana Siqueira</b>	William Patterson University, USA	Social Entrepreneurship, Brazil

**Associate Members**

Definition of Associate Member: Associate members are faculty members that are engaging in research projects in partnership with the Centre Director and other core members. Their research is related to the activities of the Centre and have in certain cases been named on application(s) submitted by the Director. The industry associate members are also working with the Centre members to support the research and/or are named on an application under review.

Obligations for Associate Members: Associate members will follow the ethics protocol as determined by McMaster University in all jointly sponsored research projects. They will also collaborate in grant writing and share in funding as appropriate. **See Appendix C for Associate Member List.**

**Space Needs**

900 Sq. Ft (tentative, exact space to be determined)

New space required?

Yes



No

New DSB building, entrepreneurship centre/floor

Confirmed



Proposed

Location?

Space cost allocation covered by lead Faculty?

Yes

No

If no, specify: \_\_\_\_\_

**Plans for Organizational Review**

Frequency of External:

**External Review every five years**

In addition, the RCI will be required to report annually to the Governing Board

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

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

Rick Hackett, Area Chair, Human Resources and Management

Khaled Hassanein, Faculty Dean

Elkafi Hassini, Associate Dean of Research (Business)

Associate Dean of Research (Engineering) or delegate

Associate Dean of Research (Social Sciences) or delegate

Associate Dean Research (Humanities) or delegate

Associate Dean, Graduate Studies, (Business, Engineering or Humanities)<sup>1</sup>

<sup>1</sup> Given that the proposed CRCE research focus integrates significant opportunities for graduate students training and development, it will engage an Associate Dean of Graduate Studies from one of the associated Faculties on the Governing Board to inform the graduate integration pieces.

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## **A. Background:**

The “Reframery” (precursor to CRCE) was established as a response to COVID-19, recognizing that immigrants, women, persons with disabilities, and minority-owned businesses were disproportionately impacted by Covid and were often supported to a lesser degree by institutional approaches available to address economic problems associated with the pandemic. Existing research conducted internationally by members of this team has long identified women and minorities as less likely to be entrepreneurs. The increasing reliance upon immigration to Canada, coupled with troubling events in Afghanistan and Ukraine, also emphasizes the need to support immigrant entrepreneurship. The COVID-19 pandemic exacerbated these accessibility gaps, highlighting the importance of identifying effective support measures. Thus, Reframery was established as an action research-based incubator focusing on community-based sustainable entrepreneurship and ‘bottom of the pyramid’ entrepreneurial ventures (often established by equity-deserving or marginalized individuals). The Reframery and subsequently the CRCE is a culmination of extensive research experience focusing on international networks and efforts to assist marginalized entrepreneurs in Hamilton, Canada, and abroad.

Small businesses account for over 98% of all employer businesses and 68% of Canadian employment (Key small business statistics, 2020). COVID-19 put many of these businesses in financial jeopardy. Women and minority-led Small and Micro Businesses (SMBs) are particularly vulnerable (and deserving) as they are typically less networked in banking and investment and less likely to engage in lucrative STEM businesses. However, e-commerce provides new opportunities for various deserving individuals, including those with disabilities and of Indigenous background, to expand their entrepreneurial identity and take action to initiate and advance their entrepreneurial vision. This Centre will build on research initiated through awards from the Vice President Research COVID-19 call, an SSHRC Insight Grant focusing primarily on minority-deserving community enterprises and an SSHRC Insight Development Grant as well as a Provost Research Excellence Fund Award and applications to the New Frontiers in Research Fund (NFRF) and blockchain foundations examining digital access and DeFi (decentralized finances) for deserving persons as well as a widely growing array of blockchain research grants available to scholars and community supporters.

The goal of the Research Centre for Community Oriented Entrepreneurship (CRCE) is to positively impact entrepreneurs as measured by their quality of life, employment, income, community development, sustainability, and personal and community health and well-being. This will be measured and facilitated through the integration of an entrepreneurial virtual ingenuity incubator and training, along with expanding participation from NGOs and other community stakeholders in Hamilton, Canada, and worldwide. Existing and developing relationships include (in Hamilton) the YWCA, the Forge and Path services, four NGOs in Kenya (inclusive of the Hebrew Immigration Society (HIAS) - Kenya, RefuSHE, African Entrepreneur Collective) and two in Poland (inclusive of Funacja Inicjatyw Społeczno-Ekonomicznych (FISE)), supporting refugee entrepreneurs and the UNHCR (UN high commission for refugees). CRCE will continue to develop linkages between community social entrepreneurs, the province, and the Federal Government through appropriate channels.

From a training perspective, CRCE will continue to develop expertise and skills for community entrepreneurial development. For example, McMaster's undergraduate and graduate education has benefitted from the ongoing course development with the Integrated Business and Humanities (IBH) program and new innovations regarding entrepreneurship and community development. Research examining innovative approaches to entrepreneurship and social entrepreneurship incubation is a significant component of this vision. The centre will also collaborate with the School of Graduate Studies on a Strategic Alignment Fund (SAF) initiative to develop collaborative specializations for graduate students and will support an entrepreneurship focused graduate option.

Interventions, student projects and research simulations incorporating various elements of interdisciplinary research will be incorporated into CRCE, such as developing a blockchain community currency (BCC) for use by NGOs and examining its impact. The process is currently conceived to take place directly between donor/mentors and NGOs collaborating with the centre. Community currencies have been used over the past fifty years to provide an alternative medium of exchange using banknotes or electronic money circulating within specific communities, allowing members to trade goods and services without using conventional cash, increasing mutual support, social cohesion, and achievement of collective goals. Often traded on par with the national currency, they encourage community development and provide local identity in their transactions by stimulating the local exchange of goods and services and circulating and maintaining wealth, helping to reduce poverty and achieve social goals (Siqueira and Honig, 2019). The critical significance for community currencies is that a blockchain model, through the application of innovative technologies, virtually eliminates problems associated with traditional designs, such as costs and counterfeit currency, while creating a robust research environment by categorizing all transactions, thereby building an economic history for vulnerable and equity-seeking communities. Such a validated transaction history can serve as intangible capital and earned reputational capital for marginalized entrepreneurs in their quest for a greater role in the extant mainstream economy. Our proposed BCC innovation addresses inequalities and eliminates management and office costs (Siqueira, Honig, Mariano & Moraes, 2020). We plan to develop a BCC model that can be offered as a turn-key project to NGO's enhanced with a unique peer-to-peer support and mentoring portal connecting both McMaster students and interested volunteers to provide mentoring and financial support for SMBs in Canada and abroad. The CRCE will initially examine the impact of incubation, BCC, and peer-to-peer activities through an online-only evidence-based model of SMB support absent of the typically required bricks-and-mortar costs. This is of relevance to sociologists, geographers, computer engineers, economists, and policymakers, as well as business scholars of economic development, inequality, diversity, inclusion and mobility. ***Neither the CRCE, nor McMaster University will solicit donations or provide donation money for the BCC. Rather, this will be done along a parallel track whereby donors directly support various partner NGOs in sponsoring BCC donations by linking directly to the NGO web site.*** CRCE will work with McMaster's Office of Legal Services to ensure that appropriate disclaimers are in place to ensure that all parties (NGOs, donors, mentors, entrepreneurs, ventures) are aware of McMaster's role and limited liability in their use of any BCC system that is proposed. Given this structure and context, there should not be any financial

risk on McMaster, and this has been discussed with Central Finance, MILO and our legal services to provide guidance on how the Centre should structure the flow of funds related to BCC.

The CRCE will employ various strategies toward community development and social entrepreneurship world-wide. The CRCE will leverage and build on earlier work conducted by the Reframery ([www.reframery.org](http://www.reframery.org)) which addresses community-oriented sustainable ventures, often the smallest, most vulnerable firms. This action-based social enterprise is a virtual ingenuity incubator addressing inequalities to inform and strengthen the development of sustainable, adaptive solutions. The CRCE builds on this earlier work to promote innovation yielding social change, new entrepreneurial ventures and new solutions to emerging challenges. The Reframery team will provide an innovative perspective on intervention success or failure and impact by examining both individual measures and the communities at large. Our objectives are as follows:

## **B. Objectives and Proposed Activities:**

### **i. Objectives:**

In summary form, our immediate objectives at the CRCE consist of the following:

#### **Innovative Interdisciplinary Research**

- 1) To produce and promote high-quality research in entrepreneurship and innovation that extends knowledge on how organizations align economic, social, and environmental goals with inclusive entrepreneurship among equity-deserving groups.
- 2) To support the creation of innovative new ventures that use imaginative problem-solving to overcome structural and resource constraints.

#### **Education**

- 3) To enhance undergraduate and graduate education in promoting community support of social entrepreneurial ventures in Canada and abroad.
- 4) To provide McMaster students with opportunities to engage in experiential learning through social entrepreneurial venture support and training.
- 5) To build capacity in graduate and undergraduate students to develop training and consulting modules and evaluate design effectiveness over time.

#### **Evaluation**

- 6) To demonstrate the effectiveness of an incubator model that supports the development of ingenuity for SMBs (micro and small businesses) employing a virtual model of interaction
- 7) To demonstrate the effective use of tailored case studies, experiential learning opportunities, mentoring, consulting and simulation activities that increase the resilience of SMBs, with a focus on women, minorities, and other equity-seeking groups.
- 8) To develop and evaluate a virtual community currency integrated with a business incubator
- 9) To develop and evaluate a peer-to-peer based community support and engagement initiative for SMBs.

#### **Engagement of equity-deserving groups**



- 10) To develop a replicable model for a virtual incubator that can be utilized across Canada and worldwide (e.g., for refugees) as well as in other countries and emerging economies. To extend the team's prior work in support of equity deserving groups in their attainment of their entrepreneurial goals to engage with marginalized communities with the objective of enhanced entrepreneurial success.
- 11) To support the Hamilton community, the Ontario province, and the Canadian government in identifying effective and efficient methods of supporting nascent entrepreneurship that leads to sustainable community development, consistent with McMaster's Brighter World Initiative.

**Fostering International connections**

- 12) Develop and enhance international research and community interaction between scholars, students, and Canadian community members with other communities abroad.
- 13) Develop an active speaker's series inviting important local and international advocates onto McMaster campus to enhance visibility, develop research linkages, and a greater understanding of community engaged entrepreneurship.

**Advancing interdisciplinary research**

- 14) Promote, collaborate, and enhance interdisciplinary research regarding factors impacting and supporting community sustainability, resilience and SMB development at McMaster and Abroad

**Promoting and enhancing community Resilience**

- 15) To initiate and evaluate support activities that lead to community resilience, sustainability, and the enhancement of mental and physical health for community members, particularly those in marginalized positions. This perspective, helping individuals with disabilities, those with economic challenges, new immigrants and refugees, is in consonance with and well supported by McMaster's Brighter World Campaign.

The novel designs, some of which are described below (e.g., BCC, peer-to-peer support, and virtual incubation) utilize experiential learning reflecting years of global research, including simulations, dialogue-based learning modules, and customized mini-case studies examining ingenuity, mentoring design thinking and innovation to overcome challenges faced by small and micro businesses (SMB) and community constraints. Furthermore, this innovative approach to supporting fragile entrepreneurial ventures – often established by deserving groups such as women, persons with disabilities, immigrants, indigenous persons and minority entrepreneurs (Mo, Cukier, Atputharajah, Boase, & Hon, 2020; Croteau, Grant, Rojas, & Abdelhamid, 2021) – is highly scalable to a broad range of businesses worldwide.

**ii. Proposed Activities:**

The most immediate need is to expand the reach and effectiveness of social entrepreneurship developed and promoted by CRCE will be the Reframery incubation concept (inclusive of research, training of entrepreneurs, research HQP training, and community network expansion) to demonstrate its viability across different populations and contexts (Albort-Morant & Oghazi,

2016; Bollingtoft & Ulhøj, 2005; Amezcua et al., 2019; Theodorakopoulos, Kakabadse & McGowan, 2014). Traditional incubators [e.g., ‘The Forge’] are designed to support and grow new firms by offering advice, networking, office space, shared services, and mentoring services (Amezcua et al., 2013; Amezcua et al., 2019; Klyver, Honig, & Steffens, 2018; Ratinho, Amezcua, Honig, & Zeng, 2020; Siqueira, Honig, Mariano & Moraes, 2020). They are typically costly to run, requiring significant administrative resources and commercial space (Hackett and Dilts, 2004; Honig & Karlsson, 2010; Mas-Verdú, Ribeiro-Soriano, & Roig-Tierno, 2015). While there are over 100 incubators in Canada, they are almost all bricks and mortar facilities that have expensive rent, management and administration costs, as well as start-up funding costs per firm that typically exceed \$50,000 (104). None have been identified as fully virtual, and none are designed to support social entrepreneurship for marginalized populations. Alternatively, as a result of limitations imposed by COVID, we designed and implemented a virtual incubator for SMBs targeting marginalized individuals (Martin & Honig, 2019). We provide extensive virtual training and mentoring in a concise six-session program to cohorts of nascent SMBs. By reducing overhead, the team developed a model that can be replicated worldwide at limited cost, avoiding management and building expenses, to address entrepreneurial support gaps, particularly for marginalized persons who normally do not get access to conventional incubators (De Clercq & Honig, 2011; Honig, forthcoming; Honig 2021).

The initial team consisting of Honig and Siqueira, and an original Covid-19 Research Fund grant provided by McMaster, has expanded to include other faculty at McMaster and abroad, most currently to work with persons with disabilities, with Kenyan sex workers and with refugees. Other possible future groups include various immigrant communities, First Nations and Indigenous communities, and those confined to refugee camps as a result of regional wars and upheavals. Ongoing work, including required undergraduate classes, links the Integrated Business and Humanities (IBH) courses with local and international social entrepreneurs, helping to advance their capabilities as well as developing student skills in consulting and project management. The Reframery incubator supports entrepreneurs and potential entrepreneurs in our community, custom tailoring support services according to cohorts’ needs and a meagre per-person cost. We have so far supported over 60 SMBs with marginal costs consisting only of doctoral student time and limited web support, costing less than \$1500 per ten-person cohort for program development and implementation costs. Many functioning incubators spend more than our marginal cost of \$150 per person (for a six or twelve-week session) on coffee and snacks. For example, the Forge, an incubator in Hamilton, has a budget of over \$700,000 per year. This includes 4 full-time staff plus 2-3 part-time students (\$460k approx.), paid mentorship and other professional services (\$60k - most mentors are volunteers, but they do have a few that are paid who are providing more hours or have special expertise), a stipend program that is used to support some of the start-ups on a reimbursement basis (\$25k), general admin and operating costs for office, marketing, food for events (\$80k), and summer program awards /prize money (75k). In marked contrast to a physical incubator, now that the basic curriculum has been designed and the model developed, our marginal costs are only the time costs of one or two students over a typical 6–10-hour cohort, less than a total of \$50.00 per student trained.

The Reframery has previously worked with immigrant communities. Each cohort provides unique opportunities to engage different stakeholders in our community, including NGOs focusing on our cohort and the marginalized persons themselves. Furthermore, each cohort provides unique research opportunities. For example, our current SSHRC-funded project regarding persons with disabilities opens a new research opportunity for understanding the unique incubation needs of this particular community. Our engagement also provides opportunities for undergraduate and graduate students to engage with this community and learn new techniques, developing an interest in supporting their needs. So far, we have engaged four students in core activities and a further 30 in design activities (10 in computer science and 20 in Integrated Business and Humanities).

In addition to focusing on entrepreneurial incubation innovations, the plan includes the examination of the integration/development of a novel, effective and scalable community currency based on blockchain technology. Community currencies provide an alternative medium of exchange by using banknotes or electronic money, which circulates only within particular communities, allowing members to trade goods and services without using cash to increase mutual support, social cohesion, and achievement of collective goals. Anticipated research will explore the process by which money can be employed beyond the maintenance of contemporary capitalism for different communitarian purposes. Our use of blockchain is not designed to develop speculative currencies or investment opportunities. Rather, we link to a fixed currency unit (a 'stablecoin, linked to the US dollar) that encourages both saving and business exchange. Thus, the diffusion of a community currency encourages the marketing of services and products linked to neighbourhood exchanges of the blockchain currency that will circulate. The circulation of this currency will provide important information regarding creditworthiness to the formal banking industry. It will also facilitate the capital attraction and leveraging of innovative ideas suitable to the communities where the currency is circulating.

One novel and important touch point for entrepreneurs is access to capital, which will be provided in the form of grants through peer-to-peer networking we will facilitate. These grants will be delivered directly to the NGO, who will convert them into BCC units for the entrepreneur's use. Working with world-class computer scientists, the Reframery team will explore the role of a blockchain community currency, peer-to-peer mentoring, and micro-lending/granting capacity, which will be distributed by the NGOs after the entrepreneurial educational component of the Reframery and CRCE activities are concluded. This is a unique concept, as previously, blockchain units have been used to distribute income, such as for the provision of universal basic income, but not to replace trading currency in a protected community environment, a currency combined with training and peer-to-peer mentoring, as we are designing/examining is innovative. Traditional community currency approaches have been employed to support and promote SMBs worldwide; however, they have been handicapped due to the extensive monitoring and verification costs. Utilizing a blockchain system eliminates this major hurdle and represents a radical innovation in the field.

The major advantage of applying innovations such as a community currency in an entrepreneurial incubation context under this centre's umbrella is that it allows for the expansion of interventions

and related research, ensuring a multidisciplinary lens on the development of solutions. It demonstrates that applying innovative approaches (digital incubation and community currency) in support of SMBs can creatively expand how community-based enterprises are fostered/supported. Our initial investigation will be based on the stablecoin, a US dollar-denominated product developed by our partner Kotanipay. The code based on this will use an API identified here: <https://kotanipay-test.web.app/>. This coin has been previously employed as a universal basic income tool that transfers into a widespread digital currency in Kenya called MPESA. We will examine as one option the redesign of this coin and the suitability for NGOs to collect peer to peer donations and convert them into BCC units. We will work with the NGOs to arrange for it to circulate throughout our refugee communities in Kenya and Poland, tracking the transaction and diffusion rates.

At the community level, CRCE research and anticipated community currency increase the opportunity for the economic impact on the part of entrepreneurs to increase self-employment for women and girls, persons with disabilities, indigenous persons and minorities while enhancing Corporate Social Responsibility (CSR). It will positively impact volunteers' mentors and consultants, reducing reliance on social services while increasing community partnerships and collaboration. Research has already demonstrated the potential of community currencies (Siqueira, Honig, Mariano, Moraes, 2020). The initial focus of CRCE is built on the team's existing orientation towards equity-seeking groups; however, the innovative solutions are broadly applicable to all members of society. By linking these needs with capable McMaster students, at various levels and departments, CRCE will facilitate the advancement of both training and interest in community-led social entrepreneurship.

### iii. Activities: Overview

CRCE will be organized along three strategic directions involving **knowledge production**, **knowledge dissemination**, and **student training**, as follows:

**Knowledge Production:** CRCE will systematically investigate methods, models, and interventions that support entrepreneurship promotion for the designated target groups. This will entail writing grants and obtaining resources for developing, implementing, and evaluating support services. While there are growing initiatives in North America supporting entrepreneurship, research regarding their effectiveness has been limited (Martin & Honig, 2019). Our newly designed action research virtual incubator will not only contribute to the literature examining the meaning, and boundaries, of social entrepreneurship (cf. Nicholls, 2010) but also provide practical learning and evaluation tools that can be applied to the use of Not-for-profit entrepreneurship development as a means of helping other disadvantaged groups world-wide (Sowa, Selden and Sandfort, 2004). Due to the virtual nature of this intervention, we can develop and evaluate a program that offers unique opportunities to persons with mobility, vision, and auditory limitations. CRCE will uncover if and how targeted ingenuity training enhances the efficacy of nascent gestation behaviour (see Davidsson and Honig, 2004) in leading to actual business creation at the critical early stages of the process. This research will contribute to the growing but inconsistent literature on entrepreneurship education and support, extending

theory in entrepreneurial emergence by beginning to explain the important behavioural connections often neglected in favour of intentional and attitudinal explanations such as entrepreneurial intentions research (Ratinho, Amezcua, Honig, & Zeng, 2020).

**Knowledge Dissemination:** CRCE will actively develop tool kits, manuals, and replicable models tested and validated as suitable for community engagement activities throughout Canada and the rest of the world, including emerging economies. We will also develop tools, educational programming, and training sessions to make use of the community currency system, as well as support new research opportunities to study transactions and dissemination. The centre's dissemination strategy will consist of multiple tracks focusing on engagement and interaction, as well as products and distribution channels. The primary influence on decision-makers at all levels of NGO and community practitioners and government will occur through face-to-face contacts at annual conferences, workshops, a speaker series, forums, briefings, seminars, and community events. The centre will actively participate in MICYU (McMaster Children's Youth University) in dissemination and education. The centre's website (Reframery already has a website at [www.Reframery.org](http://www.Reframery.org)) will be enhanced for greater accessibility. We will post working papers, feature partner information, provide links to relevant external research and policy material, and post an activity calendar. Once the centre is established, we will begin preparations for an international conference on virtual incubation and support, occurring in our third year of operation. A SSHRC Connection Grant application will be submitted, inviting the Canadian government, NGO, and educational providers, as well as our international colleagues and other interested scholars and educators. CRCE will also provide a web-based service, free of charge, as a depot for research-validated best practices for virtual incubation promotion and delivery. CRCE will also develop e-books and manuals for circulation to the NGO and relevant government bodies outlining best practices supported by our research.

**Student Training:** CRCE will actively incorporate student training designed to develop quality experiences for undergraduate and graduate students. Initial projects that provide both a model and an example of the training opportunities we plan to initiate include previous work strategically aligning with the Water Without Borders (WWB) initiative at the United Nations University (UNU) and the Integrated Business and Humanities (IBH) Program. In that particular 'demonstration' program, DSB students, advised by graduate students in the WWB program, ideated and proposed water solutions for an informal community in Cape Town, South Africa. The CRCE will develop targeted programs such as this, focusing on immigrants, refugees, indigenous, minority entrepreneurs, elderpreneurs, persons with disabilities, and other marginalized groups in order to provide an opportunity to expose students to a variety of public policy issues related to disability entrepreneurship, labour markets, social entrepreneurship, and intersectionality (gender and minority status).

Students from various disciplines, including computer science, health science, sociology, communications, and humanities, interested in engaging with these marginalized groups in action research will be exposed to innovative methods and research, as well as entirely new domains, such as persons with disabilities, indigenous persons, immigrants and minorities. We envision engaging at least one post-doc, 2-3 doctoral students, 10 graduate students from various

faculties, and teams of approximately 25 undergraduate students per academic year, with an organic growth that will match our funding capabilities. HQP will be supervised by the Director as well as Core and Associate members and will facilitate collaboration through their engagement in various projects. They will be responsible (under supervision) for the implementation, data coding, website development, communication, video production, and coordination responsibilities under the supervision of the centre members. Training will involve a wide range of research skills and qualitative and quantitative aspects of data collection and analysis across various disciplines, including sociology, business, and communication. Quantitative training includes material unavailable through regular course work, such as advanced regression and probit analysis, as well as grounded experience in conducting qualitative interviews, coding, and content analysis. Students will assist with data collection and the coordination of transcriptions. Skills obtained by the students will be very important in their future careers, as they will become proficient researchers, useful for both academic and non-academic careers, as well as possible policy roles and/or career goals such as NGO management and support roles.

#### **iv. Current and proposed research activities**

CRCE will build on existing research activities, facilitating the development of a 'big tent' for collaboration of existing related entrepreneurship research activities as they develop at DeGroot. The Centre will be the first stop and the overall coordinating location for entrepreneurship research, promotion, and education at DeGroot and McMaster. This entails the Reframery efforts to establish the virtual ingenuity incubator and other research efforts already underway and envisioned.

##### **Ingenuity Incubator Research**

There are numerous ongoing projects currently led by Core and Associate members related to the CRCE that are ideal for extending the activities of the centre. They include projects involving refugees in Europe (the UK and Denmark, for example), Brazil, the USA, South Africa, Sweden, Germany, and Ecuador, to name a few of the research contexts. In each case, this work can be brought into the research centre, with collaboration from doctoral students. Completed work can be disseminated with the help of CRCE staff and presented to panels and conferences both on campus and elsewhere, promoted and developed by the centre. There are numerous ongoing research activities with various international scholars conducted with the Reframery that are certain to be continued and expanded under the mandate and framework. Relevant exemplary (ongoing) projects are listed in Appendix B.

Honig was initially supported by a McMaster Covid-19 Research Fund entitled "Developing a Virtual Ingenuity Incubator for Women and Minority-Led Businesses During the COVID-19 Crisis". This initiative arose from the challenges entrepreneurs experienced during the pandemic's initial stages and has since continued. This funding formed the impetus for the CRCE; it allowed the research team consisting of Dr. Honig and his colleague Dr. Siqueira to initiate their research program and establish a virtual ingenuity incubator responding to the COVID-19 crisis and enhancing socio-economic conditions. This has also led to the development of materials, cases

and videos that enhance undergraduate and graduate student knowledge of rapid small-business adaptation during turbulent periods while Ph.D. students, including Javid Nafari, Anjali Chawla, Toli Jembere, and postdoc Abede Jawre participated in various aspects of the research project.

Subsequently, a SSHRC Insight Grant entitled “Theorizing and testing ingenuity and community currency for women and minority SMBs utilizing a virtual incubator” is supporting the next stages of this research. Interventions, simulations, and a BCC (targeted boundary-spanning community currency, as previously described) are designed to increase the resilience of SMBs, testing not only in Canada but environments in the USA and Brazil to ensure robustness in heterogeneous communities.

Additionally, a SSHRC Insight Development Grant entitled “Researching Entrepreneurship Including Individuals with Disabilities: An Abilities-Inclusive Approach.” was funded for the Reframery aspect of the centre. This component developed new and innovative tools and a new program for persons with disabilities. The research is useful to NGOs in the public sector, the government, persons with disabilities, and scholars interested in supporting entrepreneurship for persons with disabilities. We will bring this model to a new population, studying them with new methods and theoretical perspectives. We consider two factors impacting this population: their difficulty regarding mobility and access, often limiting their accessibility to traditional entrepreneurship incubation and promotion activities – and the inductive study of identity, in terms of how individuals see themselves and how that process can be both supported and understood with entrepreneurship promotion.

The future directions include the expansion of efforts previously undertaken to explore a community currency option, building on existing research activities. For example, what we have learned about persons with disabilities (PWDs) can be applied, in conjunction with community currencies, to develop a specifically targeted support network for PWDs. The vision is to develop an effective and scalable community currency based on blockchain technology where transactions are recorded for all users, allowing for both peer-to-peer support and the measurement and study of transaction diffusion and rates. Community currencies provide an alternative medium of exchange using banknotes or electronic money circulating within particular communities, allowing members to trade goods and services without using cash, increasing mutual support, social cohesion, and achievement of collective goals. We will research processes such as credit risk and financial access, diversification and growth, studying how the SMB firms supported by the CRCE incubation activities serve communitarian purposes. This emerging technology, along with an innovative entrepreneurial incubation mechanism, facilitates the testing, scale and impact of new interventions. Working with world-class computer scientists, such as Jelle Hellings and Jacques Carette, both from McMaster University’s Faculty of Engineering, Computer Sciences, we will develop and launch a blockchain community currency. A recent Provost Research Excellence Fund Award supported by the Faculties of Business and Engineering with matching funds from the Office of the Provost is allowing the research team to establish a pilot study that expands their work to include refugee communities in Africa; this is in anticipation of a positive outcome from their application to the New Frontiers Research Fund-Post Pandemic Call.

## **Social Innovation**

Researchers participating in the CRCE explore various issues at the intersection of social innovation and the organization. Research explores the gender dimension during the pandemic, including the relationship between gender equality and public policy. Policies can promote gender equality in times of COVID-19, while women in leadership can also promote successful measures. This is an evolving area of research requiring future assessment of causal relationships. A growing body of research looks into business-led efforts to create social value by improving the socio-economic well-being of Base of the Pyramid (BoP) communities. Research shows that businesses that pursue these strategies — or BoP businesses — face distinct challenges that require unique capabilities.

The CRCE and its exploration of the role of community currencies in developed and developing economies build on prior research on mobile money innovations. As mobile money innovations have expanded significantly in developing countries, our understanding of the factors that affect the development and diffusion has relevance in its own right and for the proposed centre. Analysis reveals the critical role of the lead firm in guiding the innovation process and the importance of a supportive regulatory environment that seeks to advance financial inclusion. The results further reveal how key actors' power and interest dynamics in the innovation system can shape the emergence of inclusive innovations that address social issues.

## **Entrepreneurial Ecosystem – An Emerging Economy Lens**

An important goal of the CRCE will be to develop and promote alternative economic micro-environments that benefit SMBs in areas of difficulty, including war, refugee and environmental challenges. Doing so entails ground-up partnerships with local NGOs to determine the best avenues for community development, allowing the capabilities of CRCE to support relevant adaptations and changes necessitated by environmental changes. CRCE will utilize our collective expertise, as manifested by the human capital of the members and their networks, as well as student capabilities, including doctoral and undergraduate, to support necessary adaptations and ingenious solutions to existing and emerging problems (Siqueira & Honig, 2019). To facilitate this transition, it will be necessary for CRCE to study the entrepreneurial ecosystem.

Entrepreneurial ecosystems are part of a family of spatial agglomerative constructs (e.g., industrial districts, clusters, regional innovation systems, etc.) that emphasize regional development through facilitating business activities. Ecosystems are the sets of “interconnected entrepreneurial actors, entrepreneurial organizations, institutions and entrepreneurial processes which formally and informally coalesce to connect, mediate, and govern performance within the local entrepreneurial environment” (Mason & Brown, 2014: 5) that fundamentally serve as resource allocation systems and are spatially bound, typically at municipal and regional levels but potentially at national levels or beyond (Autio, Nambisan, Thomas, & Wright, 2018). The



prototypical ecosystem is Silicon Valley in the San Francisco Bay Area of California: a dense, emergent collection of entrepreneurial support organizations (ESOs), venture capital, and skilled labour embedded in a robust market and infused with a pronounced entrepreneurial culture.

There is an emphasis in ecosystems research on productive entrepreneurship (Stam & van de Ven, 2019), entrepreneurship that is associated with job creation and an increase in the overall wealth of an economy (Wurth, Stam, & Spigel, 2021). However, typically productive entrepreneurship has only been associated with high-growth entrepreneurship (Spigel & Harrison, 2018).

In developing economies, the spillover effects of entrepreneurship (as in the case of the used clothing industry) can influence societal issues such as environmental sustainability and health. Also, in poverty settings, entrepreneurs' literal survival can be at risk in settings of venture failure. Thus, as has been the case regarding other issues in which extreme poverty settings are examined, basic assumptions of mature economies may not apply (Sutter, Bruton, & Chen, 2019). Given global trends that include issues related to refugees (Klyver, Steffens, & Honig, forthcoming). Climate change and general inequality, new forms of institutional support need to be developed to replace neoliberal models that have failed to fully adjust to radical change (Reid, 2012). The research conducted by the CRCE will support initiatives that develop, test, and diffuse alternative solutions.

#### **v. Operationalization of Objectives**

##### **Education**

Design and provide entrepreneurship educational services and membership programs for deserving populations. Develop and promote opportunities for Graduate students at the doctoral, graduate, and undergraduate levels to engage in research and training opportunities for the designated CRCE populations, enhancing their understanding of the research challenges and opportunities for working in this emergent field. Collaborate with McMaster Children's and Youth University (MCYU) in dissemination.

##### **Scale**

Develop an intensive program to identify and apply for grants through agencies such as SSHRC, NSERC, New Frontiers in Research Fund programs and other programs such as the Ontario Research Fund – Research Excellence and Canada Foundation for Innovation as applicable. Given the international focus of CRCE, sources of funding that encourage international collaboration will be examined. Ongoing efforts with the DeGroot School of Business and McMaster Advancement teams as they engage with alumni for friend-raising and fundraising among potential donors. Foundations and non-traditional sources (TD Grand Challenges, Google Grand Challenge and various blockchain foundations) have diverse new options beyond standard research funding sources.

##### **University Context**

The current and future activities of CRCE will benefit from relationships with the following University units.

- a) **Office of Community Engagement.** The Office of Community Engagement (OCE) works to foster collaboration between University and community partners to better understand and consider the issues identified as priorities by local communities. It is also involved in performing research, teaching and service with community members and partners. Where suitable, CRCE research clusters and individual members will collaborate with the OCE on research, student training and knowledge communication.
- b) **McMaster Digital Transformation Research Centre.** The McMaster Digital Transformation Research Centre (MDTRC) examines the impact of technology; it promotes multidisciplinary research aimed at better understanding how the digital revolution is impacting individuals and transforming organizations and society at large. The CRCE's transformative use of technology addresses two key innovations, digital entrepreneurship incubator and digital community currency. Researchers will collaborate on future projects and mobilization efforts.
- c) **UNU and Water without borders.** Initial teaching activities have already been conducted utilizing the Water Without Borders program (WWB) and the DSB through the IBH (Integrated Business and Humanities) program. Opportunities exist to extend the center in order to overlap and facilitate SMB water development projects in emerging economies.
- d) Future aspirations, including an enhanced association with **Indigenous Studies Program** and the **McMaster Indigenous Research Institute**, will be critical in bringing appropriately designed virtual incubation activities to First Nations communities.
- e) Develop an active speaker series that engages scholarship across faculties at McMaster.
- f) Collaborate with **McMaster Children's and Youth University** (MCYU) with relevant programming.

### **Regional and National Contexts**

Where opportunities arise, CRCE will collaborate with institutions and organizations across Ontario and Canada involved in entrepreneurship promotion, education and advocacy, particularly focusing on marginalized and bottom-of-the-pyramid activities. The ingenuity incubator concept can be replicated at other educational institutions and with an expanding network of NGOs.

### **International Contexts**

CRCE emerged due to the global crisis engendered by the COVID-19 pandemic. CRCE members have ongoing partnerships with researchers and institutions in several countries in North America, Africa, the Caribbean, South America, Europe and Southeast Asia. For example, innovative virtual entrepreneurship education and project design challenges conducted with the IBH program, the University of Cape Town, and the Philippi community development center (all in South Africa) have established ongoing service-learning activities that offer extensive research and expansion opportunities. As well, systematic linkages have been established with the Africa

Academy of Management to expand the activities of CRCE to the African continent. For example, ongoing support and research are being conducted presently in Kenya with the assistance of Africa Academy of Management scholars in conjunction with a Kenyan Women’s support NGO. Further relations have been established with 1) Monder Ram and the research center CREME (Centre for Research on Ethnic and Minority Entrepreneurship) at the University of Aston in the UK, and 2) with a European consortium studying immigrant entrepreneurship led by Alexandra David, Westphalian University; Institute for Work & Technology; Research Department, and 3) Michele Richey, University of Loughborough, Research Director of the Global Refugee Entrepreneurship Network. These sorts of activities are expected to expand and grow worldwide as the centre develops.

**vi. Strategies**

**Strategies Connected to the first set of objectives:** Produce and promote high-quality research in entrepreneurship education, tool development and evidence-based innovation, extending knowledge on organizations that align economic, social, and environmental goals as well as on inclusive entrepreneurship.

Strategies	Comments	Timeline	Significance
Conduct research and showcase faculty research and intellectual contributions		The Reframery (precursor to CRCE) began in June 2021 with seed funding from the McMaster Covid-19 Grant call for applications issued by the Vice President of Research. Formal Center to start Winter, 2023 Goals: Ongoing	Goal is to continue to produce research in the field of responsible and inclusive entrepreneurship, develop a sustainable model of funding, attract visibility to DeGroot and to McMaster while advancing the Center’s mission, enhance awareness and expertise in evidence-based entrepreneurship research for student and faculty populations
Develop strategic alliances with other research centers worldwide, including the Entrepreneurship	Current funding: - Canadian \$99,290 from McMaster COVID-19 Research Fund from June 1,	Start: winter, 2023 Goal: Ongoing	Goal is to produce leading-edge research contributions and provide state of the

Strategies	Comments	Timeline	Significance
<p>Center at Cotsakos College of Business, William Paterson University, N.J. Directed by Ana Siqueira, Ph.D.</p> <p>Develop new international grant opportunities through bilateral and multilateral agency funding, including OECD, IRDC, USAID, and bi-national granting opportunities</p>	<p>2020, to May 31, 2022</p> <p>-Canadian \$295,251 from Canada's SSHRC Insight Grant Program from April 1, 2021, to March 31, 2026</p> <p>-Canadian \$62,332 from Canada's SSHRC Insight Development Grant Program from June 2021 to May 2023.</p> <p>- \$7,500 grant for summer research internship</p> <p>Current and planned action research and data collection communities:</p> <ul style="list-style-type: none"> <li>-Brazil</li> <li>-Canada</li> <li>-Kenya</li> <li>-United States</li> </ul>		<p>art experiential research opportunities for students and faculty through innovative action research in the fields of (a) sustainable and inclusive entrepreneurship, and (b) financial technology innovations for promoting social capital and entrepreneurship</p>
	<p>Project already underway with Engineering to develop a block chain community currency, with sponsorship from the Provost Research Excellence Award</p>	<p>Expected launch date of block chain community currency Spring 2023</p>	<p>Exposing a wide range of faculty and students at the undergraduate, graduate, and post-graduate levels opportunities to engage in action research, evidenced based research, and pedagogical research regarding supporting marginalized persons engaging in innovation and</p>

Strategies	Comments	Timeline	Significance
			entrepreneurial community development
Application submitted for NFRF grant	Application completed and submitted for refugee SMB support in Kenya and Poland	Expected answer Jan 2023 for \$497,000 grant plus possible additions by block chain foundations and UNHCR	New Peer-Peer support and block chain community currency potentially paradigm shifting innovations

**Strategies Connected to Objective 2:** Develop a self-sustainable funding model that supports our community development activities, independent of reliance upon grant cycles and university financial support.

Strategies	Comments	Timeline	Significance
Apply for Canadian and International Grants	Various grant applications underway	<b>Continuous</b>	Support day to day operations
Begin a revenue generating model to support replication of model elsewhere	Requires research demonstrated impact	Once evidence-based research supports our model, we will endeavor to raise centre funds by facilitating the replication of our model to other targeted regions and populations	Support day to day operations.

**Strategies Connected to Objective 3:** Develop a world-class, internationally recognized center capable of supporting and replicating evidence-based innovations for the support of community-based entrepreneurship for individuals worldwide. Develop an international reputation that attracts and trains researchers and practitioners in excellence for bottom-of-the-pyramid innovative entrepreneurship-oriented community development.

Strategies	Comments	Timeline	Significance
Hold international conferences	Unique opportunity to develop expertise in an uncharted field	Year 2-5	Significant PR opportunities for McMaster and DSB
Develop a campus speaker series	Enhance McMaster community interest in community-based entrepreneurship	Years 1-5	Expand interaction and inter-disciplinary scholarship; student participation

Special issues in leading academic journals	Research focus highlighted	Year 1-5	
Develop blockchain model to envisage a community bank	Requires successful grant application to develop block chain community currency	Year 2-5	Possibly path breaking innovation never before conducted – global implications

### Strategic Alliances

Strategic alliances will be built between relevant research centres and community outreach centres. At this stage, four centres will collaborate as follows:

- Entrepreneurship Center: Cotsakos College of Business Department of Management, Marketing, Professional Sales (Dr. Siqueira, the center director, is a co-founder and co-director of the Reframery)
- Professor Monder Ram OBE DL, Director, Centre for Research in Ethnic Minority Entrepreneurship (CREME)
- Inkomoko. Kigali, Rwanda, Africa. Olive Ashimwe, Regional Director of Business Growth Services.
- Współkierownik projektu H2020 Welcoming Spaces w SGH / Co-manager of the H2020 Welcoming Spaces project at SGH; Warsaw School of Economics. Julia Koczanowicz-Chondzyńska and Maria Aluchna, Professor.

These four Centres will continue to collaborate on various research-oriented projects.

### C. Rationale for Establishment of the Research Centre or Institute:

The objective of the CRCE research centre is to provide a forum for faculty across McMaster, as well as internationally, to develop and test models of virtual incubation, which is an entirely new post-pandemic model. There is a significant need to support emergent firms, particularly those that face barriers to entry due to their industry, ownership status, and/or other biases in the marketplace that disadvantage certain populations, including women, immigrants and persons with disabilities. The vast majority of business start-ups are local SMBs (small and micro businesses) which are often ignored but highly important to the economic well-being of Canada (Key small business Statistics, 2021; Davidsson and Honig, 2003; Ratinho, Amezcua, Honig & Zeng, 2020). The centre will offer several distinct advantages over existing programs, including a focus on research and digital delivery, offering significantly lower cost support compared to traditional incubations.

First, it will codify our research efforts to test and disseminate the findings of the CRCE model worldwide. This will be facilitated by newly organized, topically dedicated international conferences to be supported through the SSHRC connection grant. The centre will obtain SSHRC team grants to design and sponsor under its masthead team/group grants supporting associated doctoral students, post-doctoral students, and other faculty members at DeGroote, McMaster, and elsewhere. The model of a virtual incubator is entirely new and given the significant expenses supporting incubation activities in Hamilton, Ontario, Canada, and worldwide, a research profile

supporting an alternative model that is both highly cost-effective and targeted to specific communities and designed to yield considerable interaction is warranted. Bringing multi-disciplinary expertise together to examine technology-based solutions in support of entrepreneurial ventures establishes a critical concentration of expertise focused on innovative solutions to entrepreneurship challenges.

The advantages of establishing a centre include the provision of institutional endorsement and administrative support necessary to facilitate applications for research and innovative sources of significant funding, as well as the administrative complexity in monitoring and managing a myriad of projects and associated sources of funding. Based on initial success in seeking funding, including an SSRC Insight Development grant for persons with disabilities (\$62,332); an SSHRC Insight grant (\$291,251), two MITACS grants (\$12,000); a McMaster Digital Transformation Centre USRA award (\$8,000); a DSB USRA award (\$7,500) a Provost Research Excellence Fund award (\$49,667) and a McMaster Covid 19 Research Fund (\$99,290) it is anticipated that the model employed will successfully attract considerable support. In addition, the institutional process of initiating and managing a formalized research centre provides a unique forum for faculty and HQP from across McMaster to engage in research projects, both because the CRCE footprint would be expanded and because a focused centre can support research activities with seed funding and resources to support further outreach for external sources of support and opportunities (prior examples include virtual incubation in medical technologies, water systems through the UNU WWB etc.).

Faculty and institutional endorsement serve as signals and barometers of credibility and legitimacy for the action research activities taking place. It will also attract other scholars interested in supporting these communities at both McMaster and worldwide. CRCE will develop specific programs that commit to equity and diversity in entrepreneurship to foster fresh ideas and perspectives that will lead to business success.

Since the introduction of its Forward with Integrity statement in 2011, McMaster has expanded its commitment to the excellence of research while seeking opportunities to integrate research more purposefully into our academic mission. The most recent Strategic Research Plan (2018-2023) highlights multidisciplinary approaches to research in collaboration with industry, government and the community. Strategically, the university has also committed to equity and diversity in entrepreneurship to foster fresh ideas and perspectives that will lead to business success. The proposed centre strengthens the institution's ability to impact across the dimensions referenced above while augmenting our ability to support the most fragile of entrepreneurial ventures as well as transitions to self-employment support through lifelong learning. CRCE aligns with two key strategic initiatives noted in the McMaster Strategic Research Plan: Equitable, Prosperous and Sustainable Societies and Data, Artificial Intelligence and the Digital Society.

The pandemic has further exacerbated matters resulting in growing inequality and a profound need to address career development and career changes that include self-employment and entrepreneurship, all capable of yielding important economic consequences. McMaster

researchers are forging innovative approaches integrating ideas from across the University to find solutions; the preliminary research under the Reframery umbrella provides a research-validated steppingstone to a much greater impact center. The creation of the proposed centre will further expand and collect resources to address solution-based approaches to assist entrepreneurs during times of enormous challenges. The second relevant strategic initiative points to the evolution of our digital society. McMaster researchers have a strong tradition of working to better understand how the digital revolution impacts individuals and transforms organizations, economies and societies at large. The particular approach by the CRCE, which differs from existing orientations, is that the digital innovations studied will be specifically designed to address inequity, particularly for marginalized communities and individuals in Canada and worldwide. These particular innovations require a targeted sensitivity as well as collaboration and buy-in from the communities being served, requiring extensive socio-cultural understanding and navigation. The CRCE sits at the intersection of emerging technologies applied toward the development of innovative solutions to pressing societal issues. Traditional approaches to entrepreneurial training and incubation are not optimal for all business contexts and for all entrepreneurs; this new centre is customized to the specific requirement of unique groups based on geographical location, minority status, prejudice and biases, and traditional and cultural norms and expectations.

Additionally, CRCE is consistent with the digital transformation strategic focus of the DeGroot School of Business. The innovative digital approach to entrepreneurial incubation represents an important shift from traditional bricks and mortar incubation approaches. The virtual model is particularly useful because it is highly cost-efficient and easy to engage in despite wide geographical boundaries. Of note is that program development can benefit from a dedicated studio for the production of entrepreneurship educational materials; however, the distribution and dissemination of the instruction are designed to be fully virtual. The CRCE will continue to focus on widely accessible entrepreneurship education in terms of implementation through the use of a 'flipped classroom,' as well as the flexible time commitment capabilities engaging both faculty and students in the consulting model.

Existing research demonstrates a significant opportunity for local, regional, provincial, national and global impact to engage in directed evidence-based support activities (Ratinho, Amezcua, Honig, & Zeng, 2020). Early research focused primarily on stakeholders developing incubation and training activities in local facilities; however, research interest has expanded to include national and global involvement. The concept of virtual support, however, is still relatively new. Members of the research team currently collaborate with scholars in Canada, the United States, Brazil and various African countries; scholars and local community partners/entrepreneurs across all jurisdictions are currently engaged. This preliminary outreach is supported through prior SSHRC funding; the Director and team members are pursuing additional support through traditional research avenues and innovative foundation sources open to applications focusing on entrepreneurship and/or blockchain-related projects. The digital incubation approach has gained traction, and there is significant interest from community stakeholders and, importantly, from entrepreneurs themselves. This approach can be replicated globally and is not dependent on an extensive brick-and-mortar infrastructure. While other virtual digital incubators do exist, they are



primarily oriented toward high-growth technology ventures and designed for advanced economies to support angel and venture capital relationships, and to facilitate high-growth firms developing in the locations where they are anchored. Their models of business planning, financial growth, marketing, and innovation are all derived from in-person incubation focusing on potential start-up activities. In contrast, CRCE will focus on addressing issues of inequality, working for SMBs who are otherwise disadvantaged due to location, war (e.g., refugees), environmental challenges, and political and social instability. Such SMB support requires dedicated and specialized interventions that are not supported by existing incubators in the start-up ecosystem globally.

Finally, an incubation centre offers important opportunities for graduate and undergraduate students to learn from, interact with, and engage in research and training activities that can lead to significant career development and academic scholarship goals. In particular, the CRCE offers the opportunity for students to engage with deserving targeted groups, women, persons with disabilities, indigenous, and other marginalized persons, developing capabilities and interests for working with these populations in everything from policy development to applied support.

**D. Criteria for expanding the membership:**

McMaster faculty members with research interests and accomplishments in areas related to scholarship supporting marginalized persons, reducing inequality, and engaging in community development issues are eligible for membership in the CRCE Research Centre (CRCE). As well, businesses, foundations, NGOs and community organizations will be welcome as CRCE members, contributing to the intellectual dialogue and ensuring that ground-up consultive research practices are maintained. Members will be invited or self-identified based on their research interests and profile. As interactions with potential academic partners (within McMaster and Internationally), NGO partners, government partners, and multi-lateral agencies expand, it is anticipated that new members will help to bring additional funding through expanded grants and alternative funding scenarios. Enhanced membership is an avenue to facilitate centre sustainability and growth. Based on experience to date, there is significant interest in pursuing the opportunity that digital entrepreneurship incubation offers for refugees. What started as a team of two researchers focusing locally on women and EDGs has already expanded significantly through presentation opportunities, word of mouth, and team outreach to new academic and non-academic partners. For example, funding (approximately \$120,000 Cdn) has been secured by Dr. Aluchna from NAWA (The Polish National Agency for Academic Exchange), covering both the travel costs and analysis costs for Drs. Honig, Aluchna and Bosek-Rak in relation to their research involving entrepreneurship opportunities among refugees from Ukraine. This small grant opened up collaboration with a Polish NGO and a new research partner Julia Koczanowicz-Chondzyńska of FISE. Similarly, conference presentations facilitated a new European network led by Michelle Richey, research head of the Global Refugee Entrepreneurship Network, which led to a keynote conference presentation at an annual conference in Venice, Italy and to alliances with additional NGOs and scholars.

The objectives of the proposed centre resonate with both scholars and potential partners. Membership expansion will be actively pursued, and Membership in the Centre will be determined by the Director in consultation with the Advisory Committee. The Director will maintain the membership list and may seek input from the Advisory Committees and the Governing Board. CRCE members are expected to be active participants in one or more of the Centre's identified research clusters and may propose new cluster areas that align with the Centre's goal and objectives and involve at least two Centre members. Members will receive communications pertaining to the Centre's activities, and where possible, share information and opportunities with other Centre members (through the Centre's online platform). They will be encouraged to engage in collaborative research, training and knowledge communication under the auspices of the Centre. Members' contributions may comprise of individual, and team research that intersects with the goal and objectives of the Centre or may involve collaboration in projects associated with the cluster themes.

**E. Detailed business plan:**

**Mission**

The Mission of the Reframery CRCE is to support research that yields communities that are not simply resilient but are prosperous and thriving. The CRCE will focus on environmentally sustainable and community-oriented research supporting diverse individuals, with a focus on marginalized and minority persons, to facilitate ingenious solutions to existing and emerging problems. The CRCE will engage in research that helps communities design socially responsible sustainable enterprises and community projects utilizing and developing evidence-based entrepreneurship research. The CRCE will engage in research and will disseminate best practices by providing entrepreneurship tools and services that guide and empower our participants to develop organizations that align with their own economic, social, and environmental goals, with the purpose of generating economic prosperity combined with environmental sustainability and social inclusion.

**Vision**

We seek to develop future generations of diverse entrepreneurs through innovative scholarship and educational services as an international leader in research, tool development and pedagogy, supporting environmentally responsible and socially inclusive entrepreneurship.

**i) Financial needs:**

The proposed Centre has received start-up funding from various University and SSHRC grants, as well as an annual commitment of 1/5 support person from the Dean of the DeGroote School of Business as well as support from other units such inclusive of Research Services and the Information Technology and Teaching & Learning Services team. In addition, the Centre is requesting the following support for institutional overhead.

**See accompanying EXCEL spreadsheet Appendix A.**

The research programs of faculty members affiliated with the proposed Centre will be supported and recognized by substantial external grants (SSHRC, NSERC (as appropriate with regard to community currency component), NFRF, CFI etc.). With additional funding from pending and future grant applications, it is anticipated that external research funding will supplement the financial resources provided by McMaster. Moreover, the Centre will actively and strategically seek additional resources and external support from key stakeholders in the entrepreneurship and/or technology ecosystems. A regular feature of Centre activities will be the hosting of workshops and conferences, often involving applications to SSHRC's Connection Grant program focusing on virtual incubation and community currencies.

As the conversation between Centre members about shared research deepens, we will look for increased opportunities to support the development of joint funding applications, including applications to foundations and additional applications to SSHRC, with a goal of building first a Canadian hub, followed by an international centre. In addition to supporting the new projects arising from the Centre's facilitated research clusters, CRCE will bring together individual researchers and groups of researchers who continue to undertake their own independently funded initiatives. Thus, we expect that the level of activity connected to the Centre will be much higher than the "core" budget might suggest.

**ii) Anticipated and secured sources of support:**

The secured finances and sources of funding include an SSRC insight development grant for persons with disabilities (\$62,332); an SSHRC insight grant (\$291,251), Provost Excellence research fund (\$49,000) ongoing allocation of a USRA award from DSB, two MITACS grants (\$12,000); a McMaster Digital Transformation grant (\$8,000); and a McMaster Covid 19 Research Grant fund (\$99,290). This is in addition to annual support from DSB towards the operation of the Centre.

**iii) Space needs:**

CRCE will be located in the new DSB building (to be completed in 2025) as part of the planned entrepreneurship floor, connecting undergraduate students, graduate students, and the community in this active virtual incubation activity. The space will include offices for the Director and research personnel, as well as an open, multi-use studio for developing additional virtual content in support of the incubation and community currency activities. Space will be requested for the use of the CRCE as a studio, a virtual classroom, a community board room, and a relevant office space/cube. The center will feature audiovisual conferencing and virtual education equipment to facilitate meetings with research partners in other countries, including persons with disabilities. Start-up funds and an application to CFI will enable CRCE to acquire high-performance cameras, computers and software for digitization and analyses of video, audio and textual data. The faculty will also facilitate the development of a secure intellectual property regime for the centre.

Part of the long-term development plans for CRCE is to establish a virtual entrepreneurship research Laboratory within the space currently allocated to the Centre. This research lab will

include infrastructure for media recording, digitization and editing. It will provide technical services, support and consultation in the areas of qualitative research methodology, multimedia recording, digitization, curation and preservation. It will include acoustically managed sound booths for interview sessions and technical facilities for transcription and for converting analog audio/video to digital formats. This lab will also support diffusion through different McMaster faculties as discreet teaching modules, and with MCYU.

**iv) Human Resource needs:**

The DSB will support the annual teaching release for the Centre's Director equivalent to one course (or 3 units of teaching). It is expected that the yearly expenses of the CRCE will include the ongoing cost of a part-time Research Coordinator and student research assistants trained in digital research who will work with members on individual or group projects. Research staff and students who work for the Centre will report to the Centre's Director and support the Director in planning, implementing and overseeing the activities of CRCE.

In addition, the DSB will provide in-kind staff support from the Information Technology and Teaching & Learning Services team. The DSB will provide valuable technical and computing expertise to the Centre during the critical set-up phase, and on an ongoing basis to ensure the maintenance and renewal of our video and virtual support research infrastructure as well as our ongoing intellectual property. This will include providing advice on equipment and software purchase, identifying research needs and support for database/website development, copywriting and patenting innovative ideas, and protecting our intellectual property. Resources for funding identification and grant development purposes will also be possible through DSB's Research Services team. Administrative Assistant support will support the Director in managing logistical and administrative components associated with website updates, meeting coordination, and other general administrative assistance. CRCE will continue to work closely with the DSB on technical support and on the plans to establish a virtual training studio, as well as develop advanced technical support capabilities for community interaction and intra-action with our community outreach services.

**F. Organizational Structure:**

**Governing Board** *will consist of*

1. Dean, DeGroote School of Business (Chair)
2. Associate Dean, Research, DeGroote School of Business
3. Associate Dean, Research Engineering or delegate
4. Associate Dean, Research Social Sciences or delegate
5. Associate Dean, Research Humanities or delegate
6. Associate Dean, Graduate Studies, from one of the associated faculties<sup>2</sup>
7. Area Chair, Human Resources and Management

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<sup>2</sup> Given that the proposed CRCE research focus integrates significant opportunities for graduate students training and development, it will engage an Associate Dean of Graduate Studies from one of the associated Faculties on the Governing Board to inform the graduate integration pieces.

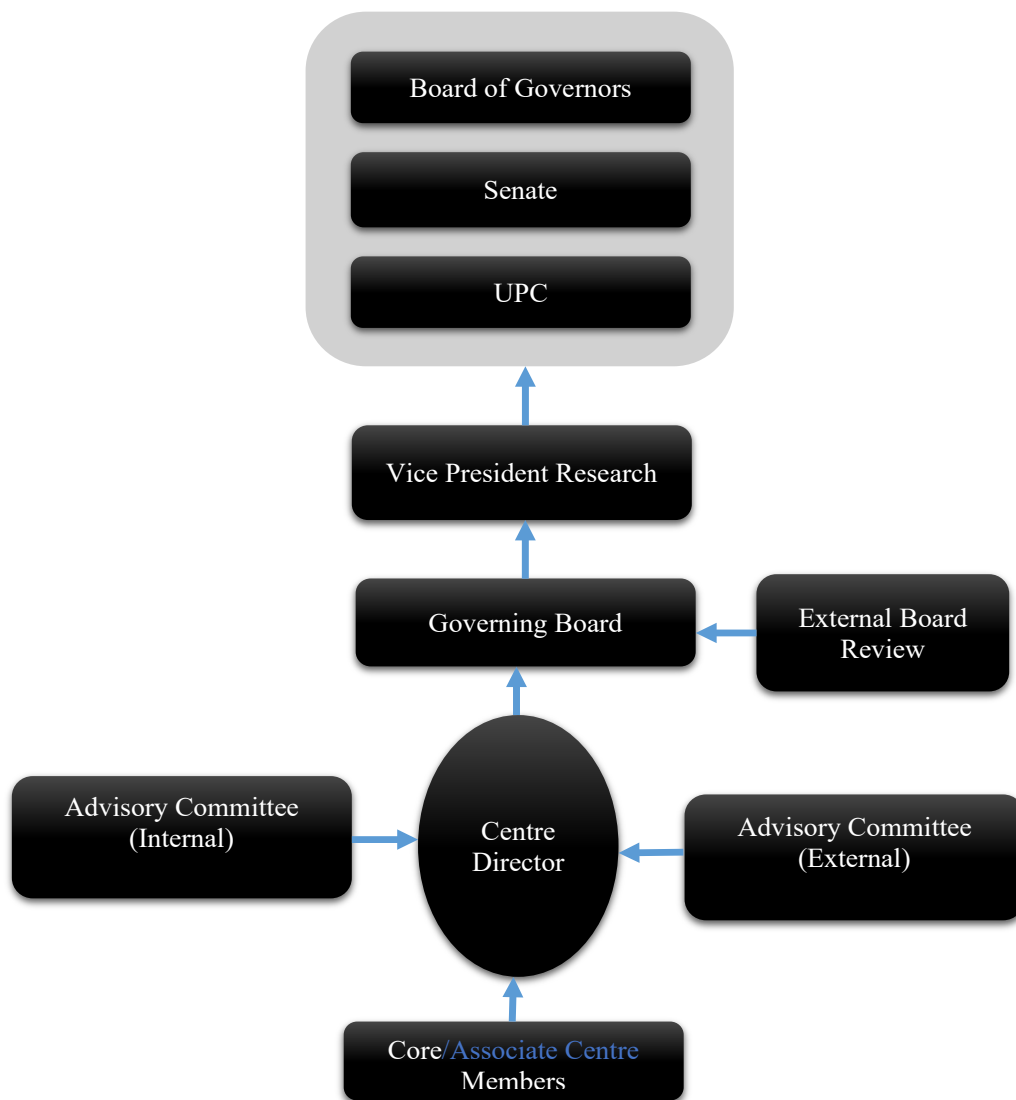
ii) **Advisory Committees Internal and External:**

- The Director will establish two Advisory Committees (AC's), an internal and an external, whose purpose is to provide advice to the Director with regard to scientific or scholarly priorities and direction for the Centre. The AC's are chosen by the Director, and are consulted at least every two years, or more frequently at the discretion of the Director.

iii) **Associate members:**

- *See Appendix C.*

**Organizational Chart Overview:**



The Centre will report directly to the Dean of the DSB. Its governance structure will comply with the requirements of the McMaster Guidelines for the Governance and Review of Research Institutes, Centres and Groups. The principal administrative roles connected to the Centre are a Director, a Governing Board, and an External Advisory Board.

**iii) Director**

The Director will be a faculty member of the Faculty of the DSB who will be appointed for a five-year, renewable term by the Senate and Board of Governors upon the recommendation of the Dean of the DSB to whom the Director will report. The Director will set the agenda for the Centre in consultation with the Governing Board and External Advisory Board. The Director will report directly to the Dean of the DSB, with whom final authority for all matters regarding the direction and operation of the Centre rests and will work in collaboration with the Associate Dean (Research) of the DSB. The Director will submit a written report annually to the Governing Board, which will be chaired by the Dean of the DSB (or delegate). This report will also inform the annual reporting and five-year external review process required of all McMaster RCIs.

Dr. Benson Honig, Teresa Cascioli Chair in Entrepreneurial Leadership, DeGroote School of Business, McMaster University is a strong candidate to serve as Director.

**Core Members**

The core members include relevant faculty from McMaster, including DeGroote, Engineering, Humanities, and Sociology, as well as the co-founder of Reframery. The core members are as follows:

Name	Position & Affiliation
Benson Honig	Professor, Human Resources & Management DeGroote School of Business
Sash Vaid	Assistant Professor, Marketing DeGroote School of Business
Khaled Nainar	Professor, Accounting & Financial Management Services DeGroote School of Business
Emad Mohammad	Associate Professor, Accounting & Financial Management Services DeGroote School of Business
Baniyelme Zoogah	Associate Professor, Human Resources & Management DeGroote School of Business
Yoontae Jeon	Assistant Professor, Finance and Business DeGroote School of Business
Sandeep Raha	Associate Professor, Health Sciences. Director, MCYU
Trish Ruebottom	Associate Professor, Human Resources & Management DeGroote School of Business

Addisu Lashitew	Assistant Professor, Strategic Management DeGroot School of Business
Brent McKnight	Associate Professor, Strategic Management & Director, Integrated Business and Humanities (IBH) DeGroot School of Business
Jacques Carette	Associate Professor of Computer Science and Software Engineering Department of Computing and Software
Jelle Hellings	Assistant Professor, Department of Computing and Software
James Gillett	Associate Professor in Health, Aging and Society and Associate Dean Faculty of Social Sciences
Nancy Doubleday	Associate Professor, Philosophy Faculty of Humanities
Ana Siqueira	-Associate Professor and Director of the Center for Socially Responsible Entrepreneurship and Innovation at William Paterson University -Co-Founder of the Reframery

#### **Advisory Committee (External)**

The Director will establish an External Advisory Committee whose purpose is to provide expert national and international advice to the Director with regard to scholarly priorities and strategic directions for the Centre. Members of the external AC are chosen by the Director and will be consulted at least every year or more frequently at the discretion of the Director.

#### **Advisory Committee (External) Members:**

<b>Name</b>	<b>Faculty or Institution</b>	<b>Expertise/Role</b>
Anne Connelly	MBA DSB Alumni	Social Impact and Blockchain
Lorne Lantz	MBA DSB Alumni	Founder of Breadcrumbs (the blockchain investigative tool)
Monder Ram (OBE)	Professor at Aston University, United Kingdom	Director of the Centre for Research in Ethnic Minority Entrepreneurship (CREME)
John Chinnick	CEO	Invisible Sky
Mikael Samuelsson	Professor University of Cape Town, South Africa	Entrepreneurship and Strategy; opportunity recognition; business models; social impact; experiential learning
Shahamak Rezaei	Department of Social Sciences & Business,	EU Horizon 2020 Research Coordinator; Marie Curie Fellow; Diaspora Link Research Coordinator;

	Roskilde University, Denmark	Associate Editor Int. Journal of Business & Globalisation
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Other relevant advisory board members will be identified with assistance from McMaster Advancement and Development - TBD

**Advisory Committee (Internal)**

An Internal Advisory Committee (IAC) of 6 members will be formed and will include and be chaired by the Centre’s Director. Once the CRCE is approved, relevant advisory committee members will be solicited from the various McMaster faculties represented by the membership of the centre. Five McMaster faculty members who are also members of the Centre will be appointed to the internal AC for 3-year renewable terms. Appointments will be made by the Centre’s Director in consultation with the full membership. The internal AC will advise the Director on research and scholarly priorities, as well as programming and strategic directions. It will assist the Director by reviewing the preliminary report of Centre activities and budget before submission to the Governing Board. The IAC will be consulted on an ongoing basis electronically, scheduling formal in-person meetings as necessary.

The advisory committee is to be appointed in conjunction with the Dean, DeGroot School of Business.

**Governing Board**

The Governing Board will comprise the Dean of DSB (who normally chairs the Governing Board) and the Associate Dean (Research) of the DSB, Associate Deans Research (or their appointed representative) for Engineering, Humanities and Social Sciences and the Area Chairs. The GB will receive a report from the Centre Director on an annual basis, including an update of the Centre’s business plan, its financial viability, and its progress toward meeting goals.

**External Board Review**

The Centre Review Board (CRB) will be appointed by the Dean of the DSB, or designate, every five years. The Dean will determine the composition of the CRB, which may consist of external or internal reviewers and will provide an assessment of the Centre’s performance in terms of its aspirations and the status, progress and plans associated with its research program. The CRB will be provided with the Guidelines for the Governance and Review of Research Institutes, Centres and Groups to guide its review, and will submit a report to the Dean of Business.

**Additional Membership**

CRCE will remain open to expanding the leadership of relevant Directors, Core members, Associated Members, External and Internal Advisory Members, according to interests and demonstrated collaborations, through linkages developed with academic partners, NGO partners, government partners, and multi-lateral agencies. While each specific position will be



adjudicated after consultation with the Dean and the Governing Board, the overall objective will be to encourage active participation and community 'buy-in' on the part of additional participating members. In order to expedite such additions, each relevant board will annually evaluate their membership, activities, and potential support with a focus on inclusion, diversity, and relevant participation of new committed members.

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**APPENDIX A**

**Research Centre or Institute Budget Template**

*Please include additional detail in Proposal if necessary*

	2023	2024	2025	2026	2027	Total	\$ Secured	\$ Anticipated
<b>OPENING BALANCE/CARRY FORWARD</b>		\$ 297,907	\$ 312,706	\$ 53,907	\$ 244,407			
<b>REVENUE - indicate whether secured or anticipated</b>	2023	2024	2025	2026	2027	Total	\$ Secured	\$ Anticipated
<i>Please ensure that any anticipated revenue from grant funding will only support costs eligible for that grant and note funding available for indirect or general operations.</i>								
SSHRC Insight Grant	\$ 222,151			\$300,000			\$222,152	\$300,000
SSHRC Insight Development Grant	\$ 41,207					\$ 41,207	\$ 41,207	
SSHRC Connection Grant		\$ 25,000		\$ 25,000				\$ 50,000
Provost Research Excellence Fund Grant	\$ 49,667					\$ 49,667	\$ 49,667	
New Frontiers Research Fund-Post Pandemic Call Fund	\$ 118,381					\$ 118,381		\$118,381
SSHRC Partnership Development			\$200,000					\$200,000
Donor/Partner Contributions		\$ 10,000	\$ 15,000	\$ 20,000	\$ 20,000	\$ 65,000		\$ 65,000
Faculty Allocation of CFI JELF Envelope of \$129,299 (plus ORF-RI match)		\$ 258,598				\$ 258,598		\$258,598
Faculty Allocation of Administrative Support	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 55,000	\$ 55,000	
Faculty Allocation of USRA	\$ 7,500	\$ 7,500	\$ 7,500	\$ 7,500	\$ 7,500	\$ 37,500	\$ 37,500	
Information Technology and Teaching & Learning Services team (in-kind)	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 50,000	\$ 50,000	
Partner Relations/Research Advisor	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 80,000	\$ 80,000	
Faculty Cash Contributions	\$ 50,000	\$ 50,000	\$ 50,000	\$ 50,000	\$ 50,000	\$ 250,000	\$ 250,000	
<b>TOTAL REVENUE</b>	<b>\$ 525,907</b>	<b>\$ 388,098</b>	<b>\$ 309,500</b>	<b>\$ 439,500</b>	<b>\$ 114,500</b>	<b>\$ 1,777,505</b>	<b>\$785,526</b>	<b>\$991,979</b>
<b>EXPENSES</b>	Insert year	Insert year	Insert year	Insert year	Insert year	Total	\$ Secured	\$ Anticipated
<b>Administrative Expenses: (add rows as required)</b>								
Administrative Personnel						\$ -		
Administrative Assistant	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 55,000		
Centre Director Stipend	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 25,000		
Information Technology and Teaching & Learning Services team	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 50,000		
Partner Relations/Research Advisor	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 80,000		
Office Supplies:						\$ -		
Standard Office Supplies	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 5,000		
Office Equipment:						\$ -		
Computing Needs	\$ 6,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 14,000		
Dedicated Computer Servers	\$ 20,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 8,000		
Video lab/studio/BCC adaption/analysis module			\$ 200,000	\$ 5,000	\$ 5,000	\$ 210,000		
Travel:						\$ -		
Annual advisory, governing board meetings	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 17,500		
Five Year Review					\$ 3,500	\$ 3,500		
Meeting expenses:						\$ -		
Hosting Partners	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 25,000		
Workshops		\$ 3,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ 12,000		
Catering for Advisory, governing board meetings	\$ 500	\$ 500	\$ 500	\$ 500	\$ 500	\$ 2,500		
Speaker Series	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 50,000		
Communications:						\$ -		
Reports, publications, website, advertisements	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 25,000		
E-Books and diffusion manuals		\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 40,000		
Renovations:						\$ -		
Ongoing costs for space:						\$ -		
<b>Total Administrative Expenses</b>	<b>\$ 93,000</b>	<b>\$ 84,000</b>	<b>\$ 284,000</b>	<b>\$ 89,000</b>	<b>\$ 92,500</b>	<b>\$ 652,500</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Research Expenses: (add rows as required)</b>								
Research Personnel:						\$ -	Secured	Anticipated
PhD Research Coordinator	\$ 30,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 150,000		
Postdoctoral fellow	\$ 67,000	\$ 67,000	\$ 67,000	\$ 67,000	\$ 67,000	\$ 335,000		
USRA	\$ 7,500	\$ 7,500	\$ 7,500	\$ 7,500	\$ 7,500	\$ 37,500		
Research Supplies:						\$ -		
Research Equipment:						\$ -		

	Faculty Allocation of CFI JELF Envelope of \$129,299 (plus ORF-RI match) for Studio and Servers		\$ 99,299	\$ 129,299			\$228,598
							\$ -
Travel:							
	New Partner Engagement	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 25,000
	Conference Attendance	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 50,000
Meeting expenses:							
	Quarterly meetings	\$ 500	\$ 500	\$ 500	\$ 500	\$ 500	\$ 2,500
	Bi-Annual Conference costs		\$ 25,000		\$ 25,000		\$ 50,000
Communications:							
	E books/manuals for replication		\$ 10,000		\$ 10,000		\$ 20,000
	Web development costs	\$ 15,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 35,000
Renovations:							
	Studio development (from CFI)		\$ 30,000				\$ 30,000
Ongoing costs for space:							
							\$ -
							\$ -
							\$ -
<b>Total Research Expenses</b>		<b>\$ 135,000</b>	<b>\$ 289,299</b>	<b>\$ 254,299</b>	<b>\$ 160,000</b>	<b>\$ 125,000</b>	<b>\$ 963,598</b>
<b>TOTAL EXPENSES</b>		<b>\$ 228,000</b>	<b>\$ 373,299</b>	<b>\$ 538,299</b>	<b>\$ 249,000</b>	<b>\$ 217,500</b>	<b>\$ 1,586,098</b>
							\$ -
<b>IN-YEAR (Surplus/ Deficit)</b>		<b>\$ 297,907</b>	<b>\$ 312,706</b>	<b>\$ 83,907</b>	<b>\$ 274,407</b>	<b>\$ 171,407</b>	

<b>Funding and Expense Summary</b>	
Opening Balance (Year 1)	\$ -
Total Revenue (Total Years)	\$ 1,777,505
<b>Total Available Funding</b>	<b>\$ 1,777,505</b>
Total Expenses (Total Years)	\$ 1,586,098
<b>Net Position</b>	<b>\$ 191,407</b>

**Notes:**

- 1- DeGroot and the DeGroot members of the CRCE have had significant success in securing funding from SSHRC in the past and this is highly anticipated to continue given the significance of the proposal. For example, the strong candidate for the Director role, has been continuously funded by SSHRC (15 grants in total). Other members have also been successful with this agency.
- 2- The Faculty of Business has offered a CFI JELF allocation to the CRCE and the grant application is under development, success rates for this program are very high.
- 3- The New Frontiers program can be challenging however the submitted project aligns with the mandate of the call for proposals and the team is committed to resubmission if required. The amount indicated accounts for the success rate and is approximately 6.65% of the total revenue.
- 4- All expenses charged to research funding sources referenced above will be eligible as per the policies of the respective agency.

## **Appendix B Ongoing Relevant Research Activities**

*With Ana Siqueira, Ana Cristina O. Siqueira, Associate Professor Director, Center for Socially Responsible Entrepreneurship and Innovation; Cotsakos College of Business; William Paterson University; Wayne, New Jersey and Javid Nafari, McMaster University*

- Information Technology as Enabler of Entrepreneurial Ingenuity: Insights for Women Entrepreneurship (under second review)
- Design of Socially Responsible New Ventures: Insights Inspired by Paulo Freire for Creating Socio-Economic and Environmental Change through Entrepreneurship (under review)
- Using Entrepreneurial Ingenuity in Online Environments: Creating Opportunities for Business Evolution and Social Impact.

*With Anjali Chawla, McMaster University*

- The role of student's agency in shaping entrepreneurship education outcomes: Dissonance alleviation work

*With Eileen Kwesiga, Professor & Chair of Management Department; Bryant University, Rhode Island, USA and Javid Nafari, Doctoral Student, McMaster University*

- Supporting Marginalized Kenyan Sex Workers with a Virtual Incubator

*With Ana Siqueira, Ana Cristina O. Siqueira, Associate Professor Director, Center for Socially Responsible Entrepreneurship and Innovation; Cotsakos College of Business; William Paterson University; Wayne, New Jersey; Sandra Mariano, Professor, Departamento de Empreendedorismo e Gestão, Universidade Federal Fluminense Brazil; Joysi Moraes, Associate Professor, Departamento de Empreendedorismo e Gestão, Universidade Federal Fluminense Brazil;*

- How does autonomy culture shape the actions of women social investors? Engaging diverse stakeholders and self-designing innovative entrepreneurial models (under review)

*With Moder Ram, Professor, Aston Business School, Birmingham UK and Shuai Kin, Aston Business School, Birmingham UK*

- Enabling or excluding? The role of refugee business support in promoting refugee integration

*With Mikael Samuelsson, Professor, Graduate School of Business, University of Cape Town*

- An international comparison of entrepreneurial business planning practices and its impact on new ventures, (under second review).

*With Sash Vaid, McMaster University, DeGroot School of Business*

- Customer related executive leadership turnover and firm performance: A dilemma of firm-level human resource contingencies.

With Florian Koehne, Johannes Kepler University Linz; Benson Honig, McMaster University and Richard Woodward, The University of Edinburgh.

- An institutional nexus perspective on social entrepreneurship

With Kim Klyver, University of Southern Denmark, and Paul Steffens, University of Adelaide, Australia.

- More of the Same? Impact of Consistent versus Variable Social Support on New Venture Growth.

### Appendix C Associated Member List

<b>Associate Members</b>		
Definition of Associate Member: <i>Associate members are faculty members that are engaging in research projects in partnership with the Centre Director and other core members. Their research is related to the activities of the Centre and have in certain cases been named on application(s) submitted by the Director. The industry associate members are also working with the Centre members to support the research and/or are named on an application under review.</i>		
Obligations for Associate Members: Associate members will follow the ethics protocol as determined by McMaster University in all jointly sponsored research projects. They will also collaborate in grant writing and share in funding as appropriate.		
<b>Name</b>	<b>Faculty or Institution (if external to McMaster)</b>	<b>Expertise</b>
Anne Connelly (TBD) <sup>3</sup>	Social Impact	Blockchain firm, Canada
Lorne Lantz (TBD)	Former MBA DSB	Blockchain Expert, USA
Michelle Richey	Loughborough University	Refugee Entrepreneurship, UK
Maria Aluchna	University of Warsaw, Poland	Economics and boards of directors, Poland
Monder Ram	Aston University, UK; CREM center	Ethnic entrepreneurship, Immigration and entrepreneurship, UK
Shahamk Rezaei (TBD)	Roskilde University, Denmark	Immigrant entrepreneurship, Denmark
Kim Klyver	University of Southern Denmark	Social Support, Denmark
Daniela Bolzani	University of Bologna, Italy	Immigrant Entrepreneurship, Italy
Felix Macharia	CEO Kotani Pay	Blockchain Expert, Kenya

<sup>3</sup> TBD is to be determined. These individuals have not formally agreed and should not be contacted



John Chinnick	CEO Invisible Sky	Community partner, expert private sector advisor and mentor
Julia Koczanowicz-Chondzyńska	FISE Fundacja Inicjatyw Społeczno-Ekonomicznych	Community NGO supporting Ukrainian Refugees in Poland
Marta Pachocka	/ Assistant Professor Współkierownik projektu H2020 Welcoming Spaces w SGH	/ Co-manager of the H2020 Welcoming Spaces project at Warsaw School of Economics (SGH), Poland
Dominika Bosek-Rak	Assistant Professor	Warsaw School of Economics (SGH) immigrant entrepreneurship gender, Poland
Alexandra David	Researcher	Refugee Entrepreneurship, Westphalian University; Institute for Work & Technology; Research Department INNOVATION, SPACE & CULTURE, Germany
<u>Mikael Samuelsson</u>	Professor <u>University of Cape Town, South Africa</u>	Entrepreneurship and Strategy; opportunity recognition; business models; social Impact; experiential learning
Joseph Lampel	Professor, Manchester University Business School	Strategy, Organization Theory
Michelle Richey	Professor, University of Loughborough	Refugee Entrepreneurship
		<i>insert additional rows as required</i>



**School of Graduate Studies**

1280 Main Street West  
Hamilton, Ontario, Canada  
L8S 4M2

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

To : University Planning Committee

From : Christina Bryce  
Assistant Graduate Secretary

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At its meeting on March 21<sup>st</sup>, Graduate Council approved the cancellation of the Advanced Neonatal diploma.

Graduate Council now recommends that the University Planning Committee approve the cancellation of the Advanced Neonatal diploma as outlined in the attached.

Attachment

**RECOMMENDATION FOR CHANGE IN GRADUATE CURRICULUM - FOR CHANGE(S) INVOLVING DEGREE PROGRAM REQUIREMENTS / PROCEDURES / MILESTONES**

**IMPORTANT: PLEASE READ THE FOLLOWING NOTES BEFORE COMPLETING THIS FORM:**

1. This form must be completed for **ALL** changes involving degree program requirements/procedures. **All** sections of this form **must** be completed.
2. An electronic version of this form (must be in MS WORD **not** PDF) should be emailed to the Assistant Secretary, School of Graduate Studies (cbryce@mcmaster.ca).
3. A representative from the department is **required to attend** the Faculty Curriculum and Policy Committee meeting during which this recommendation for change in graduate curriculum will be discussed.

<b>DEPARTMENT</b>		Graduate Nursing Programs, School of Nursing	
<b>NAME OF PROGRAM and PLAN</b>		Advanced Neonatal Nursing Diploma	
<b>DEGREE</b>	Masters of Science Neonatal Nursing Stream or Post-Master's Degree Diploma		
<b>NATURE OF RECOMMENDATION (PLEASE CHECK APPROPRIATE BOX)</b>			
Is this change a result of an IQAP review? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
CREATION OF NEW MILESTONE <input type="checkbox"/>			
<b>CHANGE IN ADMISSION REQUIREMENTS</b>	<input type="checkbox"/>	<b>CHANGE IN COMPREHENSIVE EXAMINATION PROCEDURE</b>	<input type="checkbox"/>
<b>CHANGE IN THE DESCRIPTION OF A SECTION IN THE GRADUATE CALENDAR</b>	<input checked="" type="checkbox"/>	<b>EXPLAIN:</b> Remove programs from Graduate Calenda	
<b>OTHER CHANGES</b>	<input checked="" type="checkbox"/>		
<b>DESCRIBE THE EXISTING REQUIREMENT/PROCEDURE:</b>			
Currently, the Graduate Calendar shows the Advanced Neonatal Diploma programs in the Graduate Calendar <a href="https://academiccalendars.romcmaster.ca/preview_program.php?catoid=46&amp;poide=23841&amp;returnto=9236">https://academiccalendars.romcmaster.ca/preview_program.php?catoid=46&amp;poide=23841&amp;returnto=9236</a>			

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**PROVIDE A DETAILED DESCRIPTION OF THE RECOMMENDED CHANGE (*Attach additional pages if space is not sufficient.*)**

The Advanced Neonatal Programs (Masters stream or diploma) have not been offered for over 10 years, initially due to a lack of applicants. The School of Nursing no longer has faculty eligible to teach the program, and there are no faculty with relevant research programs. The recent Curriculum Renewal Process in the Graduate Nursing Programs did not identify that this program as a priority for renewal.

**RATIONALE FOR THE RECOMMENDED CHANGE (How does the requirement fit into the department's program and/or tie to existing Program Learning Outcomes from the program's IQAP cyclical review?):**

It was identified at IQAP Review that if the program is no longer offered it should be removed from Graduate Calendar.

**PROVIDE IMPLEMENTATION DATE: (*Implementation date should be at the beginning of the academic year*)**

Fall 2023

**ARE THERE ANY OTHER DETAILS OF THE RECOMMENDED CHANGE THAT THE CURRICULUM AND POLICY COMMITTEE SHOULD BE AWARE OF? IF YES, EXPLAIN.**

**PROVIDE A DESCRIPTION OF THE RECOMMENDED CHANGE TO BE INCLUDED IN THE CALENDAR (please include a tracked changes version of the calendar section affected if applicable):**

**CONTACT INFORMATION FOR THE RECOMMENDED CHANGE:**

Name: Nancy Carter January 30, 2023	Email: carterm@mcmaster.ca	Extension: 22259	Date submitted:
----------------------------------------	----------------------------	------------------	-----------------

If you have any questions regarding this form, please contact the Assistant Secretary, School of Graduate Studies,  
cbryce@mcmaster.ca

SGS/2013





# McMaster University Research Centres & Institutes

## 2022 Annual Aggregated Report

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**BRIGHTER WORLD** | [mcmaster.ca](https://mcmaster.ca)





## An overview of 2022

The success of McMaster's Research Centres and Institutes (RCIs) is dependent upon the people – the directors, faculty, staff and students – who work within them. I'm happy to share some of those successes with you, in the second RCI annual report. Through the 2022 reporting process, I was repeatedly reminded of the high-quality work coming out of our multidisciplinary and Faculty-based RCIs. Our RCIs have a critical role to play as we emerge from the global pandemic and build new methodologies for academic research. They bring our researchers together, often across disciplines, to create a value-added research model.

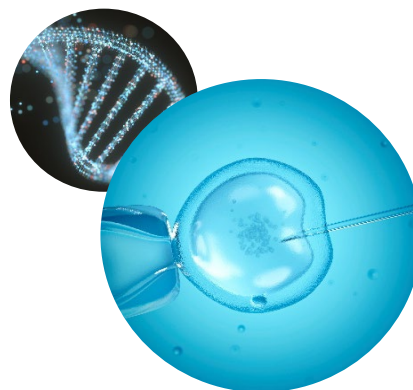
Our excellence in research is driven by the efforts of our research community – efforts that are amplified through our RCIs. These centres and institutes allow our faculty members and their research teams to focus on the most pressing and demanding problems facing society, to pool their talents and resources, and to maximize institutional impact and output. Specifically, RCIs allow us to advance our strategic research objectives; enhance research collaborations; facilitate interdisciplinary research; stimulate partnerships; expand our global reach; increase our ability to secure funding for major research initiatives; and strengthen the linkages between research and teaching.

In 2022, McMaster established three new RCIs: i) Centre for Advanced Research for Mental Health and Society with Dr. Marisa Young as Director ii) Digital Society Lab with Dr. Cliff van der Linden as Director and iii) McMaster Institute for Research on Aging - Dixon Hall with Dr. Parminder Raina as Director. In accordance with the policy Guidelines for the Governance and Review of Research Institutes, Centres and Groups, 11 external RCI reviews were completed. The reviews were overwhelmingly positive and spoke to the excellence of our centres and institutes and the incredible work of their directors. The review process and the expertise of the review board members allowed us to gain critical feedback to inform our strategic direction for RCIs going forward.

The Office of the Vice-President, Research (OVPR), continues to support the RCI Undergraduate Summer Research Program initiative, now in its third year. With the 2023 cohort, 39 undergraduate students – spread evenly across the faculties – will have received financial support to work in an RCI of their choice, often gaining their first experience in a research environment. At the request of the Deans, we held our first three knowledge sharing and engagement events, providing opportunities for the RCI leadership community to connect with and learn from one another. And, to help RCIs maximise their impact, we introduced the Research Centres and Institutes Engagement Fund to support up to 20 proposals that address the need to coordinate members around the thematic mission of an RCI.

This aggregated report speaks to both the qualitative and quantitative impact of our 67 centres and institutes during 2022 and tells an amazing story. A few highlights: more than 45 percent of McMaster's peer-reviewed journal publications and conference proceedings were enabled by our RCIs; some 360 post-doctoral fellows, 2100 graduate students, and 1800 undergraduate students advanced their research through RCIs; and nearly 1750 external collaborators reaped the benefits of working with our RCIs.

Dr. Andy Knights  
Associate Vice-President, Research  
Office of the Vice-President (Research)



# RCIs By the Numbers

Interacting with RCIs in 2022:



Faculty<sup>1</sup>



Postdoctoral  
Fellows<sup>2</sup>



Graduate  
Students<sup>3</sup>



Undergraduate  
Students<sup>4</sup>



Other Academic  
Researchers<sup>5</sup>



Other  
Non-Academic  
Researchers<sup>6</sup>

1 Total number of faculty member/RCI interactions

2 Number of PDFs supported by our RCIs

3 Number of graduate students supported by our RCIs

4 Number of undergraduates working with RCIs

5 Number of non-McMaster academic researchers interacting with our RCIs

6 Number of external collaborators such as from industry, not-for-profits, and government, supported by our RCIs



## RCIs By the Numbers

Enabled by RCIs in 2022:

2941

Journal  
Publications

394

Conference  
Proceedings

1108

Conference  
Presentations

358

Graduate Degree  
Completions

513

Undergraduate  
Senior Projects

458

Reports for External  
Organizations

40

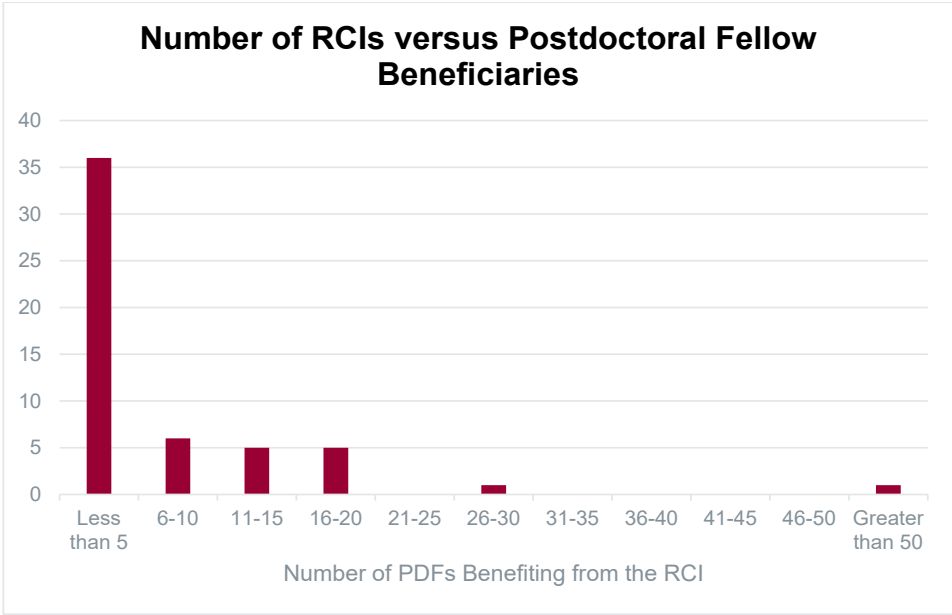
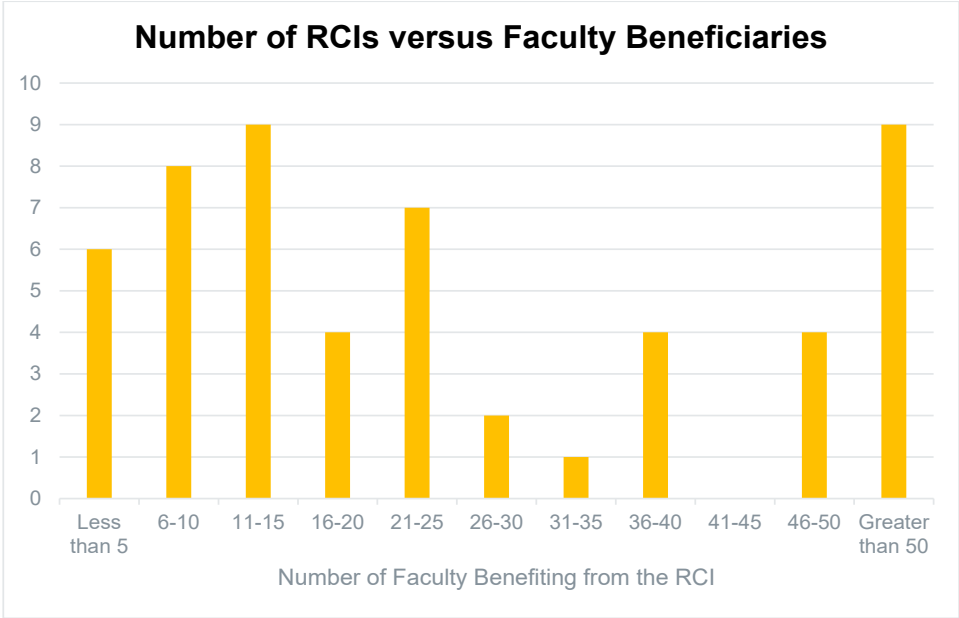
Intellectual Property  
Disclosures

49

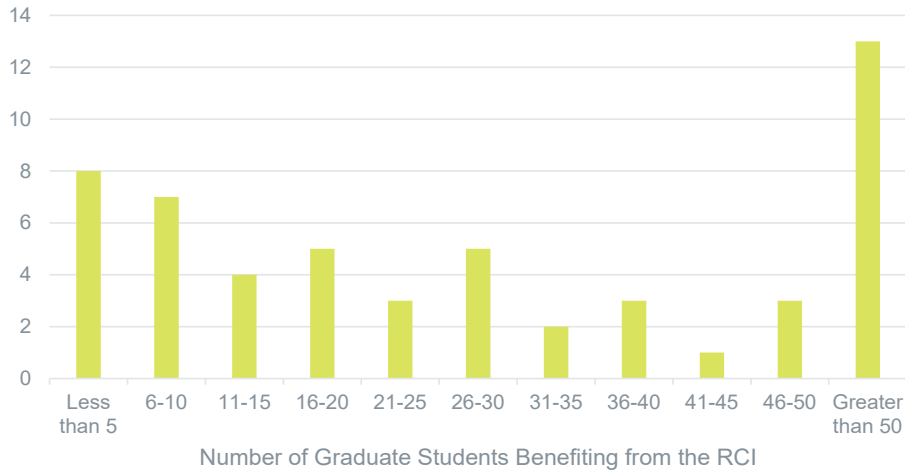
Patents

776

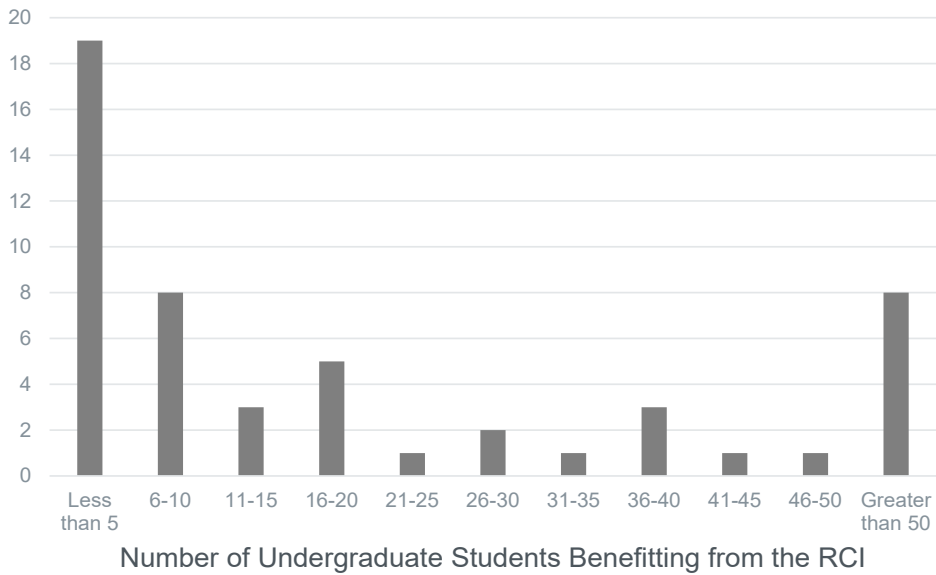
Licences to External  
Organizations



### Number of RCIs versus Graduate Student Beneficiaries



### Number of RCIs versus Undergraduate Student Beneficiaries



# Research Impact and Influence examples

## Creating education opportunities for incarcerated Canadians

The [McMaster Indigenous Research Institute's](#) (MIRI) Prison Education Project is increasing post-secondary educational opportunities for incarcerated Canadians. The Project is part of MIRI's mission to improve and promote access to research and education focused on Indigenous teachings in governance, law, philosophy, art and science.

Through the Walls to Bridges\* (W2B) program, MIRI brings university courses into prison settings, enabling incarcerated and university students to learn together as peers while earning the same university course credit. Instructors and students explore diverse Indigenous perspectives, histories, governance systems and languages, while fostering a learning environment that has the power to produce rich and important results.

The Project will address the overrepresentation of Indigenous peoples in the prison system, who are consistently marginalized and forgotten, while providing students with the critical thinking skills needed to make positive changes in their own communities.

The first Walls to Bridges course at McMaster (Indigenous Studies 2IR3, Indigenous Resurgence) began in January 2023 at Grand Valley Institution, a women's prison in Kitchener. MIRI is preparing to host a second course in Fall 2023.

MIRI is currently leading several initiatives to expand the Prison Education Project. In collaboration with Wilfred Laurier University, the Institute is organizing a five-day intensive training program for future W2B course facilitators. MIRI is also contributing to the formation of a W2B National Council, has plans to host the 2024 Prison Education Conference and is currently working with the Hamilton Regional Indian Centre and Wentworth Detention Centre to expand the Project within these settings.



\*University of Windsor W2B final class project South West Detention Centre, Fall 2022



## Uncovering the deep connections between music and the mind

Researchers, scientists and musicians at the [McMaster Institute for Music and the Mind](#) (MIMM) are exploring the deep connection between music and the human brain. MIMM houses a unique research performance hall called the LIVELab. Featuring state-of-the-art technology – including active acoustic control and devices that measure electrical and physiological responses in the brains and bodies of musicians, dancers and audience members – the LIVELab is designed to increase neuroscientific understanding of how performers interact, how audiences are cognitively, socially and emotionally impacted by music and how music can be used in therapeutic applications.

MIMM's youth education and outreach program engages 2000 students annually. Through interactive tours of the LIVELab, students are introduced to the technology and experience first-hand how it can be used to solve real-world problems. Music production workshops provide learning opportunities for youth to utilize loops, drum pads, synthesizers, and digital effects to create their own digital music. MIMM also offers online educational resources, including their Science RendezVous webpage, which features a virtual LIVELab tour and activities related to LIVELab technology and research.

MIMM's educational programs are designed to highlight how scientific knowledge and technology can be applied in creative arts settings. The Institute has established partnerships with the Hamilton Wentworth District School Board and community organizations including An Instrument for Every Child, the YWCA, Girls in Science, and youth from Six Nations.



### Advancing ethics in global and public health

Researchers at the [Institute on Ethics & Policy for Innovation](#) identify and address ethical challenges, ethics-related risks, and policy gaps that have the potential to undermine the impact of life-saving technologies and interventions in global health. A new partnership with the Kamuzu University of Health Sciences (KUHeS) in Blantyre, Malawi, Africa will allow both institutions to work together to address ethical challenges and questions associated with global and public health issues.

The partnership is part of IEPI's mission to collaborate with the global health research community, partners, funders, and other stakeholders to navigate the ethical, social, and cultural challenges that arise from scientific and technological advancement — so that, ultimately, innovative health solutions reach those who need them most.

With support from the Bill and Melinda Gates Foundation, IEPI and KUHeS will work together to develop joint educational programs and host graduate students and research fellows at both universities — advancing excellence in African research and bioethics by helping to strengthen and develop training, skills, and resources for ethics practitioners and health professionals.

In September 2022, the partners co-developed and co-delivered a two-week summer school program on global health, security, equity and governance at KUHeS' Center for Bioethics in Eastern and Southern Africa. IEPI faculty delivered 10 guest lectures and provided 10 tuition scholarships for African scholars to attend the program, and plans are currently underway to expand the program.

### Leading interdisciplinary research on next-generation materials

Materials play a central role in our daily lives. From cellphones and electric vehicles to medical equipment and treatments, the next generation of innovations in health, science and technology will depend on the discovery and development of new materials.

The [Brockhouse Institute for Materials Research](#) (BIMR) is a world-leader in interdisciplinary materials research, innovation and education. In 2022, BIMR launched the Future Materials Innovators program (FMIP) — an initiative designed to support original materials research led by McMaster graduate students.

BIMR selects and funds up to three FMIP projects each year. Each research team includes students from at least two different departments who share an innovative research idea that addresses a global challenge. With access to BIMR's unique suite of research facilities and platforms, the program enables students to build critical research skills while contributing their expertise to the study of new materials with improved properties, enhanced performance, and decreased impact on our environment.

The program encourages students to lead every aspect of their research — including writing their research proposal, developing a budget and hiring and supervising an undergraduate summer researcher to help with their project. At the end of the year, the teams present their results as part of the BIMR Seminar Series. Last year, three teams were selected for the program with projects that advance solutions in biomedicine, manufacturing and the environment.



## Empowering parents with interactive workshops on childhood disability

The [CanChild Centre for Childhood Disability Research](#) has developed a series of online interactive workshops to empower parents of children with developmental disabilities. ENVISAGE: ENabling VISION And Growing Expectations provides parents with information, resources and skills-building tools that have been shown to help them feel more competent, CONFIDENT and connected to fellow parents and care providers throughout their parenting journey.

The ENVISAGE program was co-designed by CanChild in partnership with researchers at the Australian Catholic University and Melbourne University with input from clinicians and parents. ENVISAGE-Families provides parents and caregivers of children with neuro-disabilities under the age of six with an introduction to modern international concepts about health, development, parenting and personal self-care, as well as strategies for sharing these ideas with family, friends, and service providers.

Sixty-five families in Canada and Australia enrolled in the ENVISAGE-Families program last year. Participants reported that the workshops improved their sense of empowerment and confidence in parenting. Thanks to the success of the program, the Australian Catholic University was awarded \$6.9M from the Australian Department of Social Services to offer ENVISAGE-Families to 1000 families across Australia over the next three years.

An Analogue program called ENVISAGE-Service Providers is currently in development. The program will be available to service providers who work with children with developmental challenges, delays and disabilities.



## Increasing access to education and support for displaced students and scholars

Researchers at the [Institute on Globalization and the Human Condition](#) (IGHC) examine the impact of globalization in our lives, communities, and the environment. The IGHC plays a crucial role in promoting research and teaching on global and international issues and themes, including civil society, health, government, trade, cultural production and political activism.

In 2021, the IGHC launched a series of initiatives to sponsor and support students and scholars located in Afghanistan whose work, education and livelihood was put at risk when the Taliban regained control of the country. This project evolved into the McMaster Committee on Students and Scholars in Crisis (CSSC) – a group comprised of faculty, staff, students, alumni and community members who have been forcibly displaced from their homes. In 2022, McMaster's six Faculties and the Office of the Provost collectively pledged \$800,000 to the CSSC. The funds have helped students and scholars at risk around the world, including in Afghanistan and Ukraine.

IGHC is exploring ways to remotely employ researchers and students located in Afghanistan, including those associated with Kabul University's Master's program in Gender and Women Studies. Marufa Shinwari, a PhD student at McMaster, helped Kabul University faculty develop the curriculum for the program in 2015. Since then, Shinwari and other members of the IGHC and the CSSC have been working together to create spaces at McMaster and abroad where young learners and scholars impacted by global crises can freely think, challenge and share ideas.



## Helping companies stay ahead of the manufacturing curve

Nearly every industry today faces challenges caused by our evolving technological landscape and the need

for new tools that will help them meet shifting demands. Experts at the [McMaster Manufacturing Research Institute \(MMRI\)](#) are developing ground-breaking manufacturing solutions to keep their partners ahead of the technological curve.

In 2022, MMRI partnered with Press Lock Technologies – a North American leader in clinching and self-piercing rivet devices used in the sheet metal industry. A team of experts at MMRI worked with the company to upgrade the design of one of their punch tools – a device commonly used to indent and create holes in hard surfaces, like metal. The company needed a solution that would prevent materials from sticking to the punch tool. MMRI put their cutting-edge facilities and expertise to the task.

The Institute developed new specialized coatings for the punch tool and used a unique polishing method during post-processing to combat the sticking problem. With assistance from MMRI, Press Lock Technologies was able to trial new and innovative PVD coatings for their mechanical clinching technology and introduced four new products to the marketplace in their first year of operation. Press Lock is currently exploring how the coatings can be applied more broadly, giving the company a competitive market advantage.

In December 2022, MMRI moved to McMaster Innovation Park. The 21,000-square-foot state-of-the-art facility is equipped with a private 5G network – thanks to a partnership with Canadian technology provider TERAGO – creating new research possibilities in data analysis, machine learning and remote automation that can be used to improve manufacturing processes, products and productivity. An Open House for industry and government partners is planned for May 2023.



## Transforming the healthcare landscape through policy-relevant research

The [Centre for Health Economics & Policy Analysis \(CHEPA\)](#) is pioneering interdisciplinary health research to inform fair and sustainable health and social systems. Researchers are engaged in a variety of studies aimed at improving health equity, access, delivery and patient, public and community engagement.

Opinion surveys show that 86 per cent of Canadians believe palliative care should be provided at home as much as possible. With this in mind, CHEPA is conducting an economic evaluation of a program designed to train more than 6,000 paramedics in six Canadian provinces to provide at-home palliative care for Canadians who require urgent palliative services.

CHEPA is also leading research on new health care delivery systems. As healthcare systems around the globe face pressure to meet rising demands with limited resources, researchers at CHEPA are exploring the efficacy of mobile integrated healthcare (MIH) – a new model of community-based healthcare that uses community paramedics to provide needs-based on-site urgent and nonurgent care.

Researchers found that the use of MIH in the Niagara region was associated with a decrease in the proportion of patients transported to the emergency department. It also saved health care costs compared with regular ambulance responses. Their findings suggest that the MIH model is a promising and viable solution to meeting urgent health care needs in Canadian communities, while substantially improving the use of scarce health care resources.

## Improving digital accessibility for older adults

For older adults, navigating an increasingly digital world can be a challenge. The [McMaster Digital Transformation Research Centre](#) (MDTRC) is leading cutting-edge multidisciplinary research to better understand the implications of digital transformation in the context of aging and accessibility.

Older adults are the fastest growing segment of the population, but the challenges they face when using technology are typically overlooked. As we age, we tend to experience a decline in vision, hearing, short-term memory and tactile movement control, which can lead to barriers in navigating websites, apps and accessing health and customer services.

Researchers from the MDTRC are examining how aging impacts older adults' technology User Experience (UX) and exploring new user interfaces that make digital

innovation more accessible. Researchers use traditional behavioural tools such as surveys, focus groups and interviews to gain insight into participants' experiences and neurophysiological tools to gain a deeper understanding of how participants interact with technology.

The Centre is currently preparing to launch a Mobile User Experience Lab (MUXL) – a one-of-a-kind facility that can go directly into communities, allowing the Centre to extend its work across Ontario and ensure that older adults and the disabled are able to participate in research related to technologies that impact their life and health. The MUXL Open House is planned for April 2023.





# List of Research Centres and Institutes

Bertrand Russell Research Centre  
Director: Dr. Alex Klein

Biointerfaces Institute  
Director: Dr. John Brennan

Biomedical Engineering and Advanced Manufacturing  
Director: New Director to be confirmed in 2023

Brockhouse Institute for Materials Research  
Director: Dr. Alex Adronov

Canadian Centre for Electron Microscopy  
Director: Dr. Nabil Bassim

Can-Child: Centre for Childhood Disability Research  
Co-Directors: Dr. Olaf Kraus de Camargo and  
Dr. Briano Di Rezze

Centre for Advanced Research for Mental Health and  
Society  
Director: Dr. Marisa Young

Centre for Advanced Research in Experimental and  
Applied Linguistics  
Director: Dr. Ivona Kucerova

Centre for Ancient Numismatics  
Director: Dr. Spencer Pope

Centre for Automotive Materials and Corrosion  
Director: Dr. Joey Kish

Centre for Clinical Neuroscience  
Director: Dr. Benicio Frey

Centre for Community-Engaged Narrative Arts  
Co-Directors: Dr. Lorraine York and Dr. Daniel Coleman

Centre for Discovery for Cancer Research  
Director: Dr. Shelia Singh

Centre for Emerging Device Technologies  
Director: New Director to be confirmed in 2023

Centre for Excellence in Protective Equipment and  
Materials  
Director: Dr. Ravi Selvanganapthy

Centre for Health Economics & Policy Analysis  
Director: Dr. Jean-Eric Tarride

Centre for Human Rights and Restorative Justice  
Director: Dr. Juanita De Barros

Centre for Mechatronics and Hybrid Technologies  
Director: Dr. Saied Habibi

Centre for Metabolism, Obesity, and Diabetes Research  
Co-Directors: Dr. Katherine Morrison and  
Dr. Gregory Steinberg

Centre for Networked Media and Performance  
Director: Dr. Christine Quail

Centre for Peace Studies  
Director: Dr. Chandrima Chakraborty

Centre for Research in Micro- and Nano-Systems  
Director: Dr. Jamal Deen

Chanchlani Research Centre  
Director: Dr. Sonia Anand

David Braley Centre for Antibiotic Discovery  
Director: Dr. Mathew Miller

Digital Society Lab  
Director: Dr. Clifton van der Linden

Escarpment Cancer Research Institute  
Director: Dr. Gregory Pond

Farncombe Family Digestive Health Research Institute  
Director: Dr. Steve Collins

Gilbrea Centre for Studies in Aging  
Director: Dr. Anthea Innes

Institute on Ethics and Policy for Innovation  
Director: Dr. Claudia Emerson

Institute on Globalization and the Human Condition  
Director: Dr. Petra Rethmann

L.R. Wilson Institute for Canadian History  
Acting Director: Dr. Ken Cruickshank

Labarge Centre for Mobility in Aging  
Director: Dr. Parminder Raina

Lewis and Ruth Sherman Centre for Digital Scholarship  
Director: Dr. Andrea Zeffiro

MacData Institute  
Director: New Director to be confirmed in 2023

McMaster Advanced Control Consortium  
Director: Dr. Christopher Swartz

McMaster Centre for Climate Change  
Director: Dr. Altaf Arain

McMaster Centre for Scholarship in Public Interest  
Director: Dr. Henry Giroux

McMaster Centre for Software Certification  
Director: Dr. Richard Paige

McMaster Centre for Transfusion Research  
Co-Directors: Dr. Donnie Arnold and Dr. Issac Nazi

McMaster Digital Transformation Centre  
Director: Dr. Milena Head

McMaster Immunology Research Centre  
Director: Dr. Carl Richards

McMaster Indigenous Research Institute  
Director: Dr. Savage Bear

McMaster Institute for Energy Studies  
Director: Dr. Dave Novog

McMaster Institute for Music and the Mind  
Director: Dr. Laurel Trainor

McMaster Institute for Research on Aging  
Director: Dr. Parminder Raina

McMaster Institute for Research on Aging - Dixon Hall  
Director: Dr. Parminder Raina

McMaster Institute for Transport and Logistics  
Director: New Director to be confirmed in 2023

McMaster Institute of Health Equity  
Director: Dr. Jim Dunn

McMaster Manufacturing Research Institute  
Director: Dr. Stephen Veldhuis

McMaster Midwifery Research Centre  
Director: Dr. Beth Murray-Davis

McMaster Physical Activity Centre of Excellence  
Director: Dr. Stuart Phillips

McMaster Steel Research Centre  
Director: Dr. Joe McDermid

McMaster University Centre for Buddhist Studies  
Director: Dr. James Benn

McMaster University Centre for Effective Design of Structures  
Director: New Director to be confirmed in 2023

Michael G. DeGroot Centre for Medicinal Cannabis Research  
Director: Dr. James MacKillop

Michael G. DeGroot Cochrane Canada Centre at McMaster  
Director: Dr. Holger Schunemann

Michael G. DeGroot Institute for Infectious Disease Research  
Director: Dr. Mathew Miller

Michael G. DeGroot Institute for Pain Research and Care  
Director: Dr. Norm Buckley

Michael G. DeGroot National Pain Centre  
Director: Dr. Norm Buckley

Michael Lee-Chin and Family Institute for Strategic Business Studies  
Director: Dr. Ron Balvers

Offord Centre for Child Studies  
Director: Dr. Stelios Georgiades

Population Health Research Institute  
Director: Dr. Salim Yusuf

Schroeder Allergy and Immunology Research Institute  
Director: Dr. Susan Waserman

Spark: A Centre for Social Research Innovation  
Director: Dr. Michelle Dion

Statistics Canada Research Data Centre at McMaster  
Director: Dr. Michael Veall

The McMaster Origins Institute  
Director: Dr. Jonathon Stone

Thrombosis and Atherosclerosis Research Institute  
Director: Dr. Jeffery Weitz

**REPORT TO THE SENATE**  
**FROM THE**  
**COMMITTEE ON APPOINTMENTS**

**Open Session (Regular)**

On April 17, 2023, the Committee on Appointments approved the following recommendation and now recommends it to Senate for approval:

**i. Terms of Reference**

**a. Revised Terms of Reference – Vice Dean, Clinical Services, Faculty of Health Sciences**

It is now recommended,

**that Senate approve the revised terms of reference for the Vice Dean, Clinical Services, Faculty of Health Sciences, as circulated.**

**SENATE: FOR APPROVAL**  
**May 17, 2023**

March 31, 2023

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

**Re: Approval of Updated Terms of Reference – Vice Dean, Clinical Services.**

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

These terms of reference were last updated in 2015 (attached) when the position was expanded to include a portfolio focused on Commercialization. The attached terms of reference being brought forward for approval have been updated to refocus on the Clinical Services portfolio and to reflect the responsibilities of this position more accurately.

A selection committee has recently been approved for this position and aims to complete their work by June 30, 2023.

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

## Terms of Reference

### Vice Dean, Clinical Services

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The Vice Dean, Clinical Services is responsible for creating a strategic vision, and guiding the clinical mission of the faculty and for other responsibilities delegated by the Dean and Vice-President to facilitate clinical activities that impact the Faculty at the organizational level.

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#### Reporting Relationships:

The Vice Dean, Clinical Services reports to the Dean and Vice-President, Faculty of Health Sciences.

#### Duties and Responsibilities:

The Vice Dean will:

- Work closely with Vice Deans, Associate Deans, Department Chairs, and other leaders within the Faculty of Health Sciences (FHS), on issues affecting the interface between the Faculty and the affiliated teaching hospitals.
- In collaboration with senior executives in our partner hospitals, ensure that issues of mutual concern from the Schools of Medicine, Nursing, and/or Rehabilitation Sciences are reviewed and resolved.
- Provide strategic advice to the Dean and Vice-President on the management of the academic physician groups, the clinical practice plan, and alternate funding plans.
- Oversee the activities of the Chief Operating Officer, Clinical Services, including the Faculty's relationship with Hamilton Academic Health Sciences Organization (HAHSO), Regional Medical Associates (RMA), and Ontario Physician Reporting Centre (OPRC)
- Represent the Faculty of Health Sciences in negotiating and coordinating affiliation agreements with our partner hospitals.
- Represent the Faculty of Health Sciences in high-level collaborative planning with: the Ministry of Health; Ontario Health; academic physicians and the affiliated teaching hospitals comprising the Hamilton Academic Health Sciences Centre; and in plans related to remuneration of FHS physicians for the provision of academic and clinical services through Alternate Funding Plans where appropriate.
- In collaboration with Faculty and Departmental Leadership, work to encourage, expand, and support academic activities throughout the Faculty's distributed campuses and sites.

- Serve as the Dean and Vice President’s delegate to the Clinical Faculty Association as appropriate.
- Coordinate the development of joint hospital/university health human resource plans that champion EDI-IR principles, consulting with the Associate Dean Equity and Inclusion and the Associate Dean Indigenous Health as appropriate.
- Monitor and respond to Ministry initiatives which may result in divestiture of hospital programs and/or services to privately owned health care providers and work closely with the affiliated teaching hospitals and other health providers to ensure that the academic mission is not negatively impacted and that faculty and students maintain access to these programs and services.
- Identify new business opportunities related to the provision of health care and position FHS to own, operate, and/or enter into joint venture agreements with academic physician groups, not-for-profit corporations, and/or other third parties.
- Serve as a member of FHS, University, and external committees as requested and/or required. These include:
  - FHS Faculty Executive Council
  - Selection Committees for FHS Leadership positions (ex officio)
  - Hospital University Liaison Committee (HULC)
  - MDSM Council

## **Conditions of Employment**

The position of Vice Dean, Clinical Services shall be held by a qualified full-time faculty member, appointed for a five-year term, once 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.

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Approved 2015, title update 2018.

Revisions approved – FHS Faculty Executive Feb 22, 2023.

## Vice Dean, Clinical Services and Commercial Enterprises, Faculty of Health Sciences

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The Vice Dean (Clinical Services and Commercial Enterprises) is the senior academic leader who assists the Dean and Vice-President with clinical activities that impact the Faculty at the organizational level.

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### **Reporting Relationships:**

The Vice Dean (Clinical Services and Commercial Enterprises) is accountable to the Dean and Vice-President, Faculty of Health Sciences.

The incumbent works closely with the Executive Vice-President, the Vice Deans, Associate Deans, Department Chairs, and with the hospital Department Chiefs on issues affecting the interface between the Faculty and the affiliated teaching hospitals.

### **Duties and Responsibilities:**

#### Clinical Services Portfolio

- Provide strategic advice to the Dean and Vice-President on management of the academic physician groups, the clinical practice plan and alternate payment plans.
- Function as Faculty liaison with the senior hospital executives, department chiefs, program medical directors and the clinical department chairs on issues of mutual concern.
- Represent the Faculty of Health Sciences in high level collaborative planning with academic physicians and the affiliated teaching hospitals comprising the Hamilton Academic Health Sciences Centre and with Local Health Integration Networks.
- Coordinate the development of the joint hospital/university physician human resource plans.
- Represent the Faculty of Health Sciences with McMaster University as required by the Dean and Vice-President.
- Committee membership within the Faculty, partner hospitals and LHINs as required by the Dean and Vice-President.

#### Commercialization Portfolio

- Maintain awareness of the breadth of life sciences research activities within FHS and to affiliated teaching hospitals, to identify potential commercialization opportunities based on commercial viability and finance-ability. Facilitate the development of new business identities through business and marketing plans for promising initiatives and broker access to venture capital investors. Nurture the development of biotech spin-off corporations and/or the licensure/sale of intellectual property to third parties.
- Monitor and respond to MOHLTC initiatives which may result in divestiture of hospital programs and/or services to privately owned health care providers. Ensure that FHS faculty and students maintain access to these programs and services.
- Identify new business opportunities related to provision of health care and position FHS to own, operate and/or enter into joint venture agreements with academic physician groups, not-for-profit corporations and/or other third parties.

**Conditions of Employment**

The position of Vice Dean (Clinical Services and Commercial Enterprises) 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.

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Approval Dates:

FHS Faculty Executive, January 2015

Senate Committee on Appointments, February 2015

Titles updated: July 2018.



## Vice Dean, Clinical Services ~~and Commercial Enterprises~~, Faculty of Health Sciences

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The Vice Dean ~~(Clinical Services and Commercial Enterprises)~~ is responsible for creating a strategic vision, and guiding the clinical mission of the faculty and for other responsibilities delegated by the senior academic leader who assists the Dean and Vice-President to facilitate with clinical activities that impact the Faculty at the organizational level.

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### Reporting Relationships:

The Vice Dean ~~(Clinical Services and Commercial Enterprises)~~ is accountable reports to the Dean and Vice-President, Faculty of Health Sciences.

~~The incumbent works closely with the Executive Vice President, the Vice Deans, Associate Deans, Department Chairs, and with the hospital Department Chiefs on issues affecting the interface between the Faculty and the affiliated teaching hospitals.~~

### Duties and Responsibilities:

~~Clinical Services Portfolio~~ The Vice Dean will:

- Work closely with Vice Deans, Associate Deans, Department Chairs, and other leaders within the Faculty of Health Sciences (FHS), on issues affecting the interface between the Faculty and the affiliated teaching hospitals.
- In collaboration with senior executives in our partner hospitals, ensure that issues of mutual concern from the Schools of Medicine, Nursing, and/or Rehabilitation Sciences are reviewed and resolved.
- Provide strategic advice to the Dean and Vice-President on the management of the academic physician groups, the clinical practice plan and alternate payment plans.
- Oversee the activities of the Chief Operating Officer, Clinical Services, including the Faculty's relationship with Hamilton Academic Health Sciences Organization (HAHSO), Regional Medical Associates (RMA), and Ontario Physician Reporting Centre (OPRC)
- ~~Function as Faculty liaison with the senior hospital executives, department chiefs, program medical directors and the clinical department chairs on issues of mutual concern.~~
- Represent the Faculty of Health Sciences in negotiating and coordinating affiliation agreements with our partner hospitals.
- Represent the Faculty of Health Sciences in high level collaborative planning with: the Ministry of Health; Ontario Health; academic physicians and the affiliated teaching

hospitals comprising the Hamilton Academic Health Sciences Centre and in plans related to remuneration of FHS physicians for the provision of academic and clinical services through Alternate Funding Plans where appropriate.

- ~~• and with Local Health Integration Networks.~~
- In collaboration with Faculty and Departmental Leadership, work to encourage, expand, and support academic activities throughout the Faculty's distributed campuses and sites.
- ~~• Coordinate the development of the joint hospital/university physician human resource plans.~~
- Serve as the Dean and Vice President's delegate to the Clinical Faculty Association as appropriate.
- Coordinate the development of joint hospital/university health human resource plans that champion EDI-IR principles, consulting with the Associate Dean Equity and Inclusion and the Associate Dean Indigenous Health as appropriate.
- Monitor and respond to Ministry initiatives which may result in divestiture of hospital programs and/or services to privately owned health care providers and work closely with the affiliated teaching hospitals and other health providers to ensure that the academic mission is not negatively impacted and that faculty and students maintain access to these programs and services.
- Identify new business opportunities related to the provision of health care and position FHS to own, operate, and/or enter into joint venture agreements with academic physician groups, not-for-profit corporations, and/or other third parties.
- ~~• Represent the Faculty of Health Sciences with McMaster University as required by the Dean and Vice President.~~
- Serve as a member of FHS, University, and external committees as requested and/or required. These include:
  - FHS Faculty Executive Council
  - Selection Committees for FHS Leadership positions (ex officio)
  - Hospital University Liaison Committee (HULC)
  - MDSM Council
- ~~• Committee membership within the Faculty, partner hospitals and LHINs as required by the Dean and Vice President.~~

#### Commercialization Portfolio

- ~~• Maintain awareness of the breadth of life sciences research activities within FHS and to affiliated teaching hospitals, to identify potential commercialization opportunities based on commercial viability and finance ability. Facilitate the development of new business identities through business and marketing plans for promising initiatives and broker~~

~~access to venture capital investors. Nurture the development of biotech spin-off corporations and/or the licensure/sale of intellectual property to third parties.~~

- ~~• Monitor and respond to MOHLTC initiatives which may result in divestiture of hospital programs and/or services to privately owned health care providers. Ensure that FHS faculty and students maintain access to these programs and services.~~
- ~~• Identify new business opportunities related to provision of health care and position FHS to own, operate and/or enter into joint venture agreements with academic physician groups, not for profit corporations and/or other third parties.~~

### **Conditions of Employment**

The position of Vice Dean (Clinical Services and Commercial Enterprises) shall be held by a qualified full-time faculty member, appointed for a five-year term, once ~~(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.

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Approval Dates:

FHS Faculty Executive, January 2015

Senate Committee on Appointments, February 2015

Titles updated: July 2018.

**REPORT TO THE SENATE  
FROM THE  
COMMITTEE ON BY-LAWS**

**Open Session (Regular Agenda)**

Senate accepted Notice of Motion for the amendments to the Faculty of Social Sciences By-Laws at its meeting on March 8, 2023.

**i. Amendments to the Faculty of Social Sciences By-Laws**

At its meeting on April 18, 2023, the Committee reviewed and recommended that Senate approve the amendments to the *Faculty of Social Sciences By-Laws*.

The Senate Committee on By-Laws now recommends,

**that Senate, on the recommendation of the Committee on By-Laws, approve the proposed amendments to the Faculty of Social Sciences By-Laws, as circulated.**

**SENATE: FOR APPROVAL  
May 17, 2023**



Office of the Dean  
Faculty of  
Social Sciences

1280 Main Street West  
Hamilton, Ontario Canada  
L8S 4M4

Phone 905.525.9140  
Ext. 26156  
Fax 905.525.0844  
[deansoc@mcmaster.ca](mailto:deansoc@mcmaster.ca)  
[www.socsci.mcmaster.ca](http://www.socsci.mcmaster.ca)

To: Senate Committee on Appointments

From: Jeremiah Hurley, Dean, Faculty of Social Sciences

Date: February 17, 2023

Re: Revised Bylaws for the Faculty of Social Sciences

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We are submitting our revised bylaws for approval. The bylaws were revised to incorporate the new Indigenous Studies Department and changes to the Faculty's Associate Dean positions and titles. The bylaws were submitted to the Social Sciences faculty Council for approval and were approved on February 14<sup>th</sup>, 2023.

## GENERAL

In this document Faculty means the Faculty of Social Sciences; any reference to Departments shall also apply to the Schools and the Programs within the Faculty, and any reference to Chairs of Departments shall also include the Directors of Schools and Programs.

### I THE GENERAL FACULTY

(i) Membership:

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Vice-President (Research)  
Associate Vice-President (Academic)  
Vice-Provost and Dean (Graduate Studies)  
Dean of the Faculty (Chair)  
Associate Dean (~~Academic~~[Undergraduate Studies](#)) of the Faculty  
Associate Dean (Graduate Studies ~~and Research~~) of the Faculty  
[Associate Dean \(Research\) of the Faculty](#)  
Assistant Dean (~~Undergraduate Studies~~-(Academic) of the Faculty  
Director of the McMaster Continuing Education  
University Librarian  
Registrar

Faculty: All full-time, part-time and associate members at the rank of lecturer or higher, of the Departments of Anthropology; Economics; Health, Aging and Society; Indigenous Studies ~~Program~~; Institute on Globalization and the Human Condition; Political Science; Religious Studies; and Sociology; the School of Social Work; the School of Labour Studies; the Department of Psychology, Neuroscience and Behaviour; and the School of Earth, Environment & Society; including those who hold joint appointments in one or more of these Departments, Schools and Programs, and including those members of the Faculty without departmental affiliation.<sup>1</sup>

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<sup>1</sup> Members of the School of Earth, Environment & Society, the Department of Psychology, Neuroscience and Behaviour, the ~~Indigenous Studies~~[Social Psychology](#) Program and/or the Institute on Globalization and Human Condition who are not also members of a Department in the Faculty of Social Sciences are

not eligible to participate in the Faculty Tenure and Promotion Committee, or in Faculty elections outlined in H (i), (ii), and (iii).

| Senate Approval: TBD

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**Faculty of Social Sciences By-Laws**

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One member from each of the other Faculties of the University.

Two part-time instructors, elected by and from the Social Sciences members of CUPE, Local #3906, Unit #2 for one-year terms.

Students: One undergraduate student, to be selected by and from the undergraduate students in each of the aforementioned Departments, Schools and Programs; and (where applicable) one graduate student to be selected by and from the graduate students in each of the aforementioned Departments and Schools; and two students selected by the Dean from the students in Level I Social Sciences.

Staff: Three members, elected by and from the regular full-time, non-teaching staff of the Faculty, for staggered two-year renewable terms.

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

(ii) Functions:

The General Faculty shall hold regular meetings twice a year, at which the rules of procedure of the Senate shall apply. A quorum for a regular meeting shall consist of those present at the meeting, provided that the meeting has been properly called and that regrets have not been received by the Secretary from more than fifty per cent of the members. In the absence of the Dean of the Faculty, the Chair shall be an Associate Dean, or in their absence, a member of the Faculty designated by the Dean.

The General Faculty may, within its area of jurisdiction and subject to the constraints imposed by its By-laws, determine the various levels of responsibility within the Faculty and establish appropriate standing and *ad hoc* committees of the Faculty. Under the authority of its By-laws, the General Faculty may determine the functions and powers that may be delegated to subordinate bodies.

The General Faculty delegates to the Faculty Council responsibility for the conduct of regular Faculty business subject to the following conditions and constraints.

- a) The agenda and minutes of the Faculty Council, as well as summaries of minutes of the Faculty Council and of the standing committees of Faculty (excluding the Tenure and Promotion Committee) shall be available to all members of the General Faculty.
- b) Meetings of the Faculty Council shall be open to all members of the General Faculty as observers.



#### Faculty of Social Sciences By-Laws

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- c) At the request of the Dean of the Faculty, or of the General Faculty, or of the Faculty Council, or of any ten members of the General Faculty, an issue can be reserved for action at a special meeting of the General Faculty, for which the quorum shall be fifty members.
- d) A special meeting of the General Faculty with power to override either the Faculty Council, or any Committee of the Faculty (with the exception of the Tenure and Promotion Committee, and the Budget and Planning Advisory Committee), shall be called at the written request of ten members of the General Faculty. The quorum for such a special meeting shall be fifty members.
- e) A notice of a General Faculty meeting and an agenda shall normally be circulated to all members at least one week prior to the meeting. Any substantive change in the agenda shall be brought to the attention of members at least forty-eight hours prior to the meeting.

## II FACULTY COUNCIL

### (i) Membership:

- Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty (Chair)  
Associate Dean (~~Academic~~[Undergraduate Studies](#))  
Associate Dean (Graduate Studies ~~and Research~~)  
~~Associate Dean (Research)~~  
Assistant Dean ([Undergraduate Studies](#)~~Academic~~)  
Vice-Provost and Dean (Graduate Studies), or delegate  
Chair, or delegate, from each of the Departments of Anthropology; Economics;  
Health, Aging, and Society; ~~Indigenous Studies~~; Political Science; Psychology,  
Neuroscience and Behaviour; Religious Studies; and Sociology  
Director of the School of Earth, Environment & Society, or delegate  
~~Director of the Indigenous Studies Program, or delegate~~  
Director of the Institute on Globalization and the Human Condition, or delegate  
Director of the School of Social Work, or delegate  
Director of the School of Labour Studies, or delegate  
Members of the Senate elected by the Faculty  
Chairs of Standing Committees of the Faculty
- Faculty: At least one, and no more than two, representatives, elected annually by and from each of the Departments, Schools and Programs (see definition on p.1) that report to the Dean of the Faculty on matters administrative.

**Faculty of Social Sciences By-Laws**

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Students: Five students elected annually by and from the student members of the General Faculty. Student members shall withdraw from meetings when the cases of specific students are under consideration.

**Faculty of Social Sciences By-Laws**

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Staff: One non-teaching staff member from the General Faculty elected by the non-teaching staff members of the General Faculty

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

(ii) Functions:

To conduct the business of the Faculty subject to the conditions and constraints specified in Section I (ii).

(iii) Procedures:

In the absence of the Dean of the Faculty, the Chair shall be an Associate Dean or, in their absence, a member of the Faculty designated by the Dean.

A quorum shall consist of one third of the members.

**III DEAN'S AD HOC OPERATING COMMITTEES**

The Dean of the Faculty may appoint Dean's Ad Hoc Operating Committees for assistance and advice in the operation of the Faculty, or as requested by the Faculty, and the Faculty shall be informed regarding the function and composition of any such committee. Such committees shall report, at least annually, to the Faculty.

**IV STANDING COMMITTEES**

**General**

- a) The President, the Provost and the Dean of the Faculty are *ex officio* members of all Standing Committees, except that the President and Provost are not *ex officio* members of the Tenure and Promotion Committee or the IT Governance Committee and the Associate Dean (Graduate Studies and Research), rather than the Dean, is an *ex officio* member of the Graduate Curriculum and Policy Committee.
- b) The Committees listed below, and such other committees as the General Faculty or Faculty Council, shall meet at the call of the Chair unless otherwise specified in these By-laws, three voting faculty members, in addition to the Chair, and not including the President, the Provost, or the Dean of the Faculty, shall constitute a quorum.
- c) Student members of committees shall withdraw from meetings when the cases of specific students are under consideration.

**Faculty of Social Sciences By-Laws**

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- d) The Committees listed below shall report at least annually to the General Faculty.
- e) Where the Chair of a Standing Committee is to be elected from among the members, the Dean or delegate shall call the first meeting and preside until a Chair has been elected.

**A. Undergraduate Academic Planning and Policy Committee**

(i) Membership:

Chair: Associate Dean ([Undergraduate StudiesAcademic](#))

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of Faculty  
Assistant Dean ([AcademicUndergraduate Studies](#))

Faculty: Undergraduate Chairs of each Department, School, and Program (see definition in Section I) offering programs in which there are students counselled by the Associate Dean ([Undergraduate StudiesAcademic](#))

Students: One undergraduate student from each Department, School, and Program (see definition in Section I) offering programs in which there are students counselled by the Associate Dean ([Undergraduate StudiesAcademic](#))

Consultants: Manager of [Careers and](#) Experiential Education (non-voting); Others as required (non-voting)

(ii) Functions:

To advise the Associate Dean ([Undergraduate StudiesAcademic](#)) on policy related to undergraduate academic planning, enrolment management, and student awards. Responsible for matters related to undergraduate curriculum and admissions.

**B. Undergraduate Reviewing Committee**

(i) Membership:

Chair: Associate Dean ([Academic Undergraduate Studies](#))

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty

~~Associate Dean and/or Assistant Dean ([Academic Undergraduate Studies](#))~~

Faculty: One member appointed by and from each Department, School and Program (see definition in Section I) offering programs in which there are students who are counselled by the Associate Dean ([Academic Undergraduate Studies](#)), for staggered two-year terms

Consultants: Assistant Dean ([Academic Undergraduate Studies](#)) (non-voting)

(ii) Functions:

To review and adjudicate, when necessary, petitions for special consideration including applications for reinstatement, retroactive accommodations, and requests for deferred examinations, and to adjudicate the results of formal re-readings in accordance with Section 15 of the *Student Appeal Procedures*.

**C. Graduate Curriculum and Policy Committee**

(i) Membership:

Chair: Associate Dean (Graduate Studies ~~and Research~~)

Ex-Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Vice-Provost and Dean (Graduate Studies)  
Associate Dean ([Academic Undergraduate Studies](#))

Faculty: One representative from each Department, School and Program offering Social Sciences graduate work (normally, the graduate chair or other faculty member responsible for graduate matters in the Department, School or Program). Each of these representatives has one vote.

**Faculty of Social Sciences By-Laws**

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**Students:** Two full-time graduate students, one Ph.D. student and one master's student, elected annually by and from the Ph.D. and master's students respectively. Each student representative has one vote.

**Consultants:** Faculty representatives to Graduate Council (non-voting)

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

(ii) **Functions:**

To make recommendations to the Faculty/Faculty Council 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 fields of study arising from departmental proposals; and to deal with matters referred to it by the Committee on Graduate Admissions and Study. To report to both Faculty Council and Graduate Council at least annually. To review and update regularly its operating procedures, and file a copy with the Dean's Office and with the School of Graduate Studies.

(iii) **Procedures:**

Quorum shall be two (2) voting faculty members in addition to the Chair, and not including the President, Provost or Faculty Deans

**D. Tenure and Promotion Committee**

(i) **Membership:**

**Chair:** Dean of the Faculty

**Faculty:** Seven tenured members of the full-time faculty who are also members of the Departments and Schools which report to the Dean of the Faculty on matters administrative, elected from those holding the rank of Professor or Associate Professor. Of these, at least three shall be Professors and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms.

**Quorum:** Quorum shall be All members but one

**Faculty of Social Sciences By-Laws**

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(ii) Functions:

To consider all recommendations regarding the granting or withholding of tenure or permanence received from Chairs of Departments, Directors of Schools, and, where appropriate, the Directors for Educational Programs.

To consider all recommendations regarding promotion received from Department Chairs, the Directors of Schools, and, where appropriate, the Directors of Educational Programs.

In carrying out these functions, the work of the Committee will comply with all relevant elements of the *McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion*.

**E. SS IT Governance Committee**

(i) Membership:

Ex Officio: Dean of Faculty

Co-Chairs: Faculty Co-Chair (appointed by the Dean)  
Staff Co-Chair (appointed by the Dean)

Faculty: Four faculty members from the Faculty of Social Sciences to include a mixture of ranks and appointment types (tenure-stream, teaching-stream), and research approaches, and to represent, as much as is feasible with a limited number of members, diverse IT needs of faculty in fulfilling their research, educational and service responsibilities.

Staff: Four staff members from the Faculty of Social Sciences to include a mixture of non-teaching (administrative staff, research staff) and teaching staff and to represent, as much as is feasible with a limited number of members, diverse IT needs of staff in supporting the research, educational and service mission of the Faculty.

Students: Two students, one undergraduate and one graduate, enrolled full-time in programs offered by the Faculty of Social Sciences.

Quorum: Quorum is 50 percent of membership, including at minimum two faculty, two staff and one student.

Membership terms are for three years for faculty and staff and two years for students and are consecutively renewable once.

#### Faculty of Social Sciences By-Laws

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(ii) Functions:

The overall function of the Faculty of Social Sciences IT Governance Committee is to set IT-related goals for the Faculty of Social Sciences that support our research, teaching and administrative functions, and to make recommendations to the Dean and the Director of Finance and Administration regarding resources, best practices, and policies to achieve these goals.

(iii) Meetings:

The Committee will normally meet at least three times per year but may meet more frequently as appropriate.

(iv) Procedures:

Meetings will be led by the Co-chairs and will provide a forum for contributions by all Committee members. Decisions will be taken by consensus (meaning balance of views, not unanimity) or, where appropriate, by a vote of the members.

#### F. Dean's Advisory Council

(i) Membership:

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty  
Associate Dean ([Academic/Undergraduate Studies](#))  
Associate Dean ([Graduate Studies and Research](#))  
[Associate Dean \(Research\)](#)

Chair: Dean of the Faculty (Chair)

Faculty: Chairs of Departments, Directors of Schools, and Directors of Educational Programs that report to the Dean of the Faculty on matters administrative.

(ii) Functions:

- a) To advise the Dean on academic and administrative policies, procedures for the Faculty, and on short- and long-term planning for the Faculty.
- b) To make nominations sufficient to ensure an election for representatives of the Faculty on the Graduate Council, the Undergraduate Council, and the Senate, and for members of the Tenure and Promotion Committee; to make nominations to Faculty Standing Committees, and to nominate Social Sciences faculty members to other Faculties in which the Faculty has representation, as required.



**Faculty of Social Sciences By-Laws**

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- c) To select members of the Undergraduate Hearings Committee, the Research Funding and Priorities Committee and the Teaching and Learning Committee.

**G. Recognition, Awards, and Ranking Committee**

- (i) Membership:

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of Faculty

Chair: To be appointed by the Dean, in consultation with the Dean's Advisory Council

Faculty: One member nominated from each Department and School

Secretary: Provided by the Office of the Dean (non-voting)

- (ii) Functions:

To review and nominate faculty members for University wide, national, and international awards related to academic or teaching excellence, research and/or scholarship and to make recommendations to the Dean for honorary degree nominations.

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**V ELECTIONS**

- (i) Elections shall be held before the end of April each year to fill vacancies on Faculty Standing Committees, as required, and on the Faculty Tenure and Promotion Committee. ~~n~~ominations for these positions shall be emailed to the eligible voters, at their University email address giving them the opportunity to nominate, within a designated period, additional candidates for any vacancy, any such nomination to have the consent of the nominee and to be supported by three eligible voters. The elections shall be conducted by the Secretary of the Senate by means of ballots circulated electronically to the University email address of each eligible voter. The electorate for the Tenure and Promotion Committee shall consist of all full-time members of the Faculty (see definition I(i)).
- (ii) The Dean's Advisory Council shall nominate a representative of the Faculty of Social Sciences, for a three-year renewable term, to each of the other Faculties in which the Faculty of Social Sciences has representation. Additional nominations may be made by members of the Faculty of Social Sciences, within a designated period, any such nomination to be supported by three members of the Faculty of Social Sciences. If an election for any of these representatives should be necessary, it shall be held concurrently with the elections alluded to above.

#### Faculty of Social Sciences By-Laws

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- (iii) Elections shall be held before the end of April each year to fill Faculty vacancies on the Graduate Council, the Undergraduate Council and the Senate. Nominations for these positions shall be provided to the eligible voters, giving them the opportunity to nominate, within a designated period, additional candidates for any vacancy, any such nomination to have the consent of the nominee and to be supported by three eligible voters. The elections shall be conducted by the Secretary of the Senate by means of ballots provided to each eligible voter. The electorate shall consist of all part-time and full-time members, at the rank of lecturer or higher of each Department, Program and School that reports to the Dean of the Faculty on matters administrative (see definition I (i)).
- (iv) All elections (unless otherwise specified) shall be conducted in accordance with the single transferable vote procedure.
- (v) If any of the elected positions referred to in the above paragraphs, except a position on the Tenure and Promotion Committee, becomes vacant, the Faculty Council shall have the power to fill this position for the remainder of the session.
- (vi) In the election of members to the Faculty Tenure and Promotion Committee and the Senate, eligible voters shall be provided with a modified *curriculum vitae* of each candidate, which should not exceed one page, and should include degrees, dates and ranks of appointments, lists of representative publications or other scholarly works, and relevant experience.
- (vii) Retiring members of all Standing Committees shall be replaced by newly-elected or appointed members on July 1 of each year.
- (viii) The conduct of the election of the regular full-time, non-teaching staff members of the Faculty to the Standing Committees 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 emailed to the University address of each regular full-time, non-teaching staff member of the Faculty.

#### H. AMENDMENTS 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 the By-laws or for any new By-law, shall be made only after the proposed change in the By-laws has been approved at a Faculty meeting. Notice of motion to request such amendment shall be given at a previous meeting of the Faculty, or in writing to all members of the Faculty at least four weeks before the Faculty meeting.
- (iii) By-Laws shall be reviewed and updated, at a minimum, every three years.

**I. IMPLEMENTATION**

The date of effect of the By-laws shall be the date on which they receive Senate approval.

Revised:

February 9, 1983		May 8, 1989		June 13, 1990		June 12, 1991
February 8, 1995		November 5, 1997		September 9, 1998		October 10, 2002
November 12, 2003		June 15, 2005		June 14, 2006		June 3, 2009
June 2, 2010		June 6, 2012		June 25, 2014		October 14, 2015
June 9, 2021						

## GENERAL

In this document Faculty means the Faculty of Social Sciences; any reference to Departments shall also apply to the Schools and the Programs within the Faculty, and any reference to Chairs of Departments shall also include the Directors of Schools and Programs.

### I THE GENERAL FACULTY

(i) Membership:

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Vice-President (Research)  
Associate Vice-President (Academic)  
Vice-Provost and Dean (Graduate Studies)  
Dean of the Faculty (Chair)  
Associate Dean (Undergraduate Studies) of the Faculty  
Associate Dean (Graduate Studies) of the Faculty  
Associate Dean (Research) of the Faculty  
Assistant Dean (Undergraduate Studies) of the Faculty  
Director of the McMaster Continuing Education  
University Librarian  
Registrar

Faculty: All full-time, part-time and associate members at the rank of lecturer or higher, of the Departments of Anthropology; Economics; Health, Aging and Society; Indigenous Studies; Institute on Globalization and the Human Condition; Political Science; Religious Studies; and Sociology; the School of Social Work; the School of Labour Studies; the Department of Psychology, Neuroscience and Behaviour; and the School of Earth, Environment & Society; including those who hold joint appointments in one or more of these Departments, Schools and Programs, and including those members of the Faculty without departmental affiliation.<sup>1</sup>

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<sup>1</sup> Members of the School of Earth, Environment & Society, the Department of Psychology, Neuroscience and Behaviour, the Social Psychology Program and/or the Institute on Globalization and Human Condition who are not also members of a Department in the Faculty of Social Sciences are not eligible to participate in the Faculty Tenure and Promotion Committee, or in Faculty elections outlined in H (i), (ii), and (iii).

Senate Approval: TBD

## Faculty of Social Sciences By-Laws

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One member from each of the other Faculties of the University.

Two part-time instructors, elected by and from the Social Sciences members of CUPE, Local #3906, Unit #2 for one-year terms.

Students: One undergraduate student, to be selected by and from the undergraduate students in each of the aforementioned Departments, Schools and Programs; and (where applicable) one graduate student to be selected by and from the graduate students in each of the aforementioned Departments and Schools; and two students selected by the Dean from the students in Level I Social Sciences.

Staff: Three members, elected by and from the regular full-time, non-teaching staff of the Faculty, for staggered two-year renewable terms.

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

(ii) Functions:

The General Faculty shall hold regular meetings twice a year, at which the rules of procedure of the Senate shall apply. A quorum for a regular meeting shall consist of those present at the meeting, provided that the meeting has been properly called and that regrets have not been received by the Secretary from more than fifty per cent of the members. In the absence of the Dean of the Faculty, the Chair shall be an Associate Dean, or in their absence, a member of the Faculty designated by the Dean.

The General Faculty may, within its area of jurisdiction and subject to the constraints imposed by its By-laws, determine the various levels of responsibility within the Faculty and establish appropriate standing and *ad hoc* committees of the Faculty. Under the authority of its By-laws, the General Faculty may determine the functions and powers that may be delegated to subordinate bodies.

The General Faculty delegates to the Faculty Council responsibility for the conduct of regular Faculty business subject to the following conditions and constraints.

- a) The agenda and minutes of the Faculty Council, as well as summaries of minutes of the Faculty Council and of the standing committees of Faculty (excluding the Tenure and Promotion Committee) shall be available to all members of the General Faculty.
- b) Meetings of the Faculty Council shall be open to all members of the General Faculty as observers.

## Faculty of Social Sciences By-Laws

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- c) At the request of the Dean of the Faculty, or of the General Faculty, or of the Faculty Council, or of any ten members of the General Faculty, an issue can be reserved for action at a special meeting of the General Faculty, for which the quorum shall be fifty members.
- d) A special meeting of the General Faculty with power to override either the Faculty Council, or any Committee of the Faculty (with the exception of the Tenure and Promotion Committee, and the Budget and Planning Advisory Committee), shall be called at the written request of ten members of the General Faculty. The quorum for such a special meeting shall be fifty members.
- e) A notice of a General Faculty meeting and an agenda shall normally be circulated to all members at least one week prior to the meeting. Any substantive change in the agenda shall be brought to the attention of members at least forty-eight hours prior to the meeting.

## II FACULTY COUNCIL

### (i) Membership:

- Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty (Chair)  
Associate Dean (Undergraduate Studies)  
Associate Dean (Graduate Studies)  
Associate Dean (Research)  
Assistant Dean (Undergraduate Studies)  
Vice-Provost and Dean (Graduate Studies), or delegate  
Chair, or delegate, from each of the Departments of Anthropology; Economics; Health, Aging, and Society; Indigenous Studies; Political Science; Psychology, Neuroscience and Behaviour; Religious Studies; and Sociology  
Director of the School of Earth, Environment & Society, or delegate  
Director of the Institute on Globalization and the Human Condition, or delegate  
Director of the School of Social Work, or delegate  
Director of the School of Labour Studies, or delegate  
Members of the Senate elected by the Faculty  
Chairs of Standing Committees of the Faculty
- Faculty: At least one, and no more than two, representatives, elected annually by and from each of the Departments, Schools and Programs (see definition on p.1) that report to the Dean of the Faculty on matters administrative.
- Students: Five students elected annually by and from the student members of the General Faculty. Student members shall withdraw from meetings when the cases of specific students are under consideration.

## Faculty of Social Sciences By-Laws

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Staff: One non-teaching staff member from the General Faculty elected by the non-teaching staff members of the General Faculty

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

(ii) Functions:

To conduct the business of the Faculty subject to the conditions and constraints specified in Section I (ii).

(iii) Procedures:

In the absence of the Dean of the Faculty, the Chair shall be an Associate Dean or, in their absence, a member of the Faculty designated by the Dean.

A quorum shall consist of one third of the members.

### III DEAN'S AD HOC OPERATING COMMITTEES

The Dean of the Faculty may appoint Dean's Ad Hoc Operating Committees for assistance and advice in the operation of the Faculty, or as requested by the Faculty, and the Faculty shall be informed regarding the function and composition of any such committee. Such committees shall report, at least annually, to the Faculty.

### IV STANDING COMMITTEES

#### General

- a) The President, the Provost and the Dean of the Faculty are *ex officio* members of all Standing Committees, except that the President and Provost are not *ex officio* members of the Tenure and Promotion Committee or the IT Governance Committee and the Associate Dean (Graduate Studies), rather than the Dean, is an *ex officio* member of the Graduate Curriculum and Policy Committee.
- b) The Committees listed below, and such other committees as the General Faculty or Faculty Council, shall meet at the call of the Chair unless otherwise specified in these By-laws, three voting faculty members, in addition to the Chair, and not including the President, the Provost, or the Dean of the Faculty, shall constitute a quorum.
- c) Student members of committees shall withdraw from meetings when the cases of specific students are under consideration.

- d) The Committees listed below shall report at least annually to the General Faculty.
- e) Where the Chair of a Standing Committee is to be elected from among the members, the Dean or delegate shall call the first meeting and preside until a Chair has been elected.

**A. Undergraduate Academic Planning and Policy Committee**

(i) Membership:

Chair: Associate Dean (Undergraduate Studies)

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of Faculty  
Assistant Dean (Undergraduate Studies)

Faculty: Undergraduate Chairs of each Department, School, and Program (see definition in Section I) offering programs in which there are students counselled by the Associate Dean (Undergraduate Studies)

Students: One undergraduate student from each Department, School, and Program (see definition in Section I) offering programs in which there are students counselled by the Associate Dean (Undergraduate Studies)

Consultants: Manager of Careers and Experiential Education (non-voting); Others as required (non-voting)

(ii) Functions:

To advise the Associate Dean (Undergraduate Studies) on policy related to undergraduate academic planning, enrolment management, and student awards. Responsible for matters related to undergraduate curriculum and admissions.

**B. Undergraduate Reviewing Committee**

(i) Membership:

Chair: Associate Dean (Undergraduate Studies)

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty



### Faculty of Social Sciences By-Laws

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Faculty: One member appointed by and from each Department, School and Program (see definition in Section I) offering programs in which there are students who are counselled by the Associate Dean (Undergraduate Studies), for staggered two-year terms

Consultants: Assistant Dean (Undergraduate Studies) (non-voting)

(ii) Functions:

To review and adjudicate, when necessary, petitions for special consideration including applications for reinstatement, retroactive accommodations, and requests for deferred examinations, and to adjudicate the results of formal re-readings in accordance with Section 15 of the *Student Appeal Procedures*.

### C. Graduate Curriculum and Policy Committee

(i) Membership:

Chair: Associate Dean (Graduate Studies)

Ex-Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Vice-Provost and Dean (Graduate Studies)  
Associate Dean (Undergraduate Studies)

Faculty: One representative from each Department, School and Program offering Social Sciences graduate work (normally, the graduate chair or other faculty member responsible for graduate matters in the Department, School or Program). Each of these representatives has one vote.

Students: Two full-time graduate students, one Ph.D. student and one master's student, elected annually by and from the Ph.D. and master's students respectively. Each student representative has one vote.

Consultants: Faculty representatives to Graduate Council (non-voting)

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

(ii) Functions:

To make recommendations to the Faculty/Faculty Council 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 fields of study arising from departmental proposals; and to deal with matters referred to it by the Committee on Graduate Admissions and Study. To report

#### Faculty of Social Sciences By-Laws

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to both Faculty Council and Graduate Council at least annually. To review and update regularly its operating procedures, and file a copy with the Dean's Office and with the School of Graduate Studies.

(iii) Procedures:

Quorum shall be two (2) voting faculty members in addition to the Chair, and not including the President, Provost or Faculty Deans

#### D. Tenure and Promotion Committee

(i) Membership:

Chair: Dean of the Faculty

Faculty: Seven tenured members of the full-time faculty who are also members of the Departments and Schools which report to the Dean of the Faculty on matters administrative, elected from those holding the rank of Professor or Associate Professor. Of these, at least three shall be Professors and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms.

Quorum: Quorum shall be All members but one

(ii) Functions:

To consider all recommendations regarding the granting or withholding of tenure or permanence received from Chairs of Departments, Directors of Schools, and, where appropriate, the Directors for Educational Programs.

To consider all recommendations regarding promotion received from Department Chairs, the Directors of Schools, and, where appropriate, the Directors of Educational Programs.

In carrying out these functions, the work of the Committee will comply with all relevant elements of the *McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion*.

#### E. SS IT Governance Committee

(i) Membership:

Ex Officio: Dean of Faculty

Co-Chairs: Faculty Co-Chair (appointed by the Dean)  
Staff Co-Chair (appointed by the Dean)

## Faculty of Social Sciences By-Laws

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- Faculty: Four faculty members from the Faculty of Social Sciences to include a mixture of ranks and appointment types (tenure-stream, teaching-stream), and research approaches, and to represent, as much as is feasible with a limited number of members, diverse IT needs of faculty in fulfilling their research, educational and service responsibilities.
- Staff: Four staff members from the Faculty of Social Sciences to include a mixture of non-teaching (administrative staff, research staff) and teaching staff and to represent, as much as is feasible with a limited number of members, diverse IT needs of staff in supporting the research, educational and service mission of the Faculty.
- Students: Two students, one undergraduate and one graduate, enrolled full-time in programs offered by the Faculty of Social Sciences.
- Quorum: Quorum is 50 percent of membership, including at minimum two faculty, two staff and one student.

Membership terms are for three years for faculty and staff and two years for students and are consecutively renewable once.

(ii) Functions:

The overall function of the Faculty of Social Sciences IT Governance Committee is to set IT-related goals for the Faculty of Social Sciences that support our research, teaching and administrative functions, and to make recommendations to the Dean and the Director of Finance and Administration regarding resources, best practices, and policies to achieve these goals.

(iii) Meetings:

The Committee will normally meet at least three times per year but may meet more frequently as appropriate.

(iv) Procedures:

Meetings will be led by the Co-chairs and will provide a forum for contributions by all Committee members. Decisions will be taken by consensus (meaning balance of views, not unanimity) or, where appropriate, by a vote of the members.

### F. Dean's Advisory Council

(i) Membership:

### Faculty of Social Sciences By-Laws

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Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of the Faculty  
Associate Dean (Undergraduate Studies)  
Associate Dean (Graduate Studies)  
Associate Dean (Research)

Chair: Dean of the Faculty (Chair)

Faculty: Chairs of Departments, Directors of Schools, and Directors of Educational Programs that report to the Dean of the Faculty on matters administrative.

(ii) Functions:

- a) To advise the Dean on academic and administrative policies, procedures for the Faculty, and on short- and long-term planning for the Faculty.
- b) To make nominations sufficient to ensure an election for representatives of the Faculty on the Graduate Council, the Undergraduate Council, and the Senate, and for members of the Tenure and Promotion Committee; to make nominations to Faculty Standing Committees, and to nominate Social Sciences faculty members to other Faculties in which the Faculty has representation, as required.
- c) To select members of the Undergraduate Hearings Committee, the Research Funding and Priorities Committee and the Teaching and Learning Committee.

### G. Recognition, Awards, and Ranking Committee

(i) Membership:

Ex Officio: President and Vice-Chancellor  
Provost and Vice-President (Academic)  
Dean of Faculty

Chair: To be appointed by the Dean, in consultation with the Dean's Advisory Council

Faculty: One member nominated from each Department and School

Secretary: Provided by the Office of the Dean (non-voting)

(ii) Functions:

To review and nominate faculty members for University wide, national, and international awards related to academic or teaching excellence, research and/or scholarship and to make recommendations to the Dean for honorary degree nominations.

## V ELECTIONS

- (i) Elections shall be held before the end of April each year to fill vacancies on Faculty Standing Committees, as required, and on the Faculty Tenure and Promotion Committee. Nominations for these positions shall be emailed to the eligible voters, at their University email address giving them the opportunity to nominate, within a designated period, additional candidates for any vacancy, any such nomination to have the consent of the nominee and to be supported by three eligible voters. The elections shall be conducted by the Secretary of the Senate by means of ballots circulated electronically to the University email address of each eligible voter. The electorate for the Tenure and Promotion Committee shall consist of all full-time members of the Faculty (see definition I(i)).
- (ii) The Dean's Advisory Council shall nominate a representative of the Faculty of Social Sciences, for a three-year renewable term, to each of the other Faculties in which the Faculty of Social Sciences has representation. Additional nominations may be made by members of the Faculty of Social Sciences, within a designated period, any such nomination to be supported by three members of the Faculty of Social Sciences. If an election for any of these representatives should be necessary, it shall be held concurrently with the elections alluded to above.
- (iii) Elections shall be held before the end of April each year to fill Faculty vacancies on the Graduate Council, the Undergraduate Council and the Senate. Nominations for these positions shall be provided to the eligible voters, giving them the opportunity to nominate, within a designated period, additional candidates for any vacancy, any such nomination to have the consent of the nominee and to be supported by three eligible voters. The elections shall be conducted by the Secretary of the Senate by means of ballots provided to each eligible voter. The electorate shall consist of all part-time and full-time members, at the rank of lecturer or higher of each Department, Program and School that reports to the Dean of the Faculty on matters administrative (see definition I (i)).
- (iv) All elections (unless otherwise specified) shall be conducted in accordance with the single transferable vote procedure.
- (v) If any of the elected positions referred to in the above paragraphs, except a position on the Tenure and Promotion Committee, becomes vacant, the Faculty Council shall have the power to fill this position for the remainder of the session.
- (vi) In the election of members to the Faculty Tenure and Promotion Committee and the Senate, eligible voters shall be provided with a modified *curriculum vitae* of each candidate, which should not exceed one page, and should include degrees, dates and ranks of appointments, lists of representative publications or other scholarly works, and relevant experience.
- (vii) Retiring members of all Standing Committees shall be replaced by newly-elected or appointed members on July 1 of each year.

## Faculty of Social Sciences By-Laws

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- (viii) The conduct of the election of the regular full-time, non-teaching staff members of the Faculty to the Standing Committees 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 emailed to the University address of each regular full-time, non-teaching staff member of the Faculty.

### H. AMENDMENTS 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 the By-laws or for any new By-law, shall be made only after the proposed change in the By-laws has been approved at a Faculty meeting. Notice of motion to request such amendment shall be given at a previous meeting of the Faculty, or in writing to all members of the Faculty at least four weeks before the Faculty meeting.
- (iii) By-Laws shall be reviewed and updated, at a minimum, every three years.

### I. IMPLEMENTATION

The date of effect of the By-laws shall be the date on which they receive Senate approval.

Revised:

February 9, 1983		May 8, 1989		June 13, 1990		June 12, 1991
February 8, 1995		November 5, 1997		September 9, 1998		October 10, 2002
November 12, 2003		June 15, 2005		June 14, 2006		June 3, 2009
June 2, 2010		June 6, 2012		June 25, 2014		October 14, 2015
June 9, 2021						

**REPORT TO SENATE**  
**FROM THE**  
**COMMITTEE ON ACADEMIC INTEGRITY**

*Approval*

**i. Revisions to the Academic Integrity Policy**

The Committee recommends that Senate approve revisions to the Academic Integrity Policy. Highlights of the proposed revisions include:

a. Change to Records of the Offence (42.)

*New wording:*

*“The Office of Academic Integrity shall maintain a record of each finding of academic dishonesty against a student. This record will be retained for a period of ten years before being destroyed. The purpose of this record, which shall be kept separate from any other of the student’s records, is to determine whether there has been a previous offence, before a penalty is levied. Such a record of offences shall not be used for any other purpose.*

b. Proposed update to language in Appendix 2

*Various changes to wording within appendix 2 have been proposed as they relate to:*

- 1. Hearings held by online video conference instead of in person. In person is still available if requested.*
- 2. The primary form of communication being the McMaster email address.*

c. Proposed change to Faculty Adjudicator Reporting: Appendix 1

*New wording:*

*The Faculty Adjudicators, should they wish to make recommendations regarding modifications to the policies and procedures under which they operate, shall report in writing to the Office of Academic Integrity by October 31st of each year.*

d. Proposed Addition to Appendix 3: Academic Dishonest Explanations

*Proposed wording:*

*Generative Artificial Intelligence*

*Generative AI tools are advanced language models that utilize deep learning algorithms to produce human-like text based on given prompts. There are also generative artificial intelligence tools that produce code, images, videos, presentations, and audio.*

*Instructors must be clear in their assignment directive as to whether they are (1) explicitly prohibiting use or (2) setting specific parameters around the permitted use of generative artificial intelligence tools.*

*Students are directed to assume all assignments and tests are intended to be done without the use of generative artificial intelligence unless otherwise directed by the instructor. Students are expected to ask questions and clarify if they are unsure of the instructor's expectations. If permitted to use generative artificial intelligence tools in an assessment, it is expected they will use standard citation rules to identify any part or section for their assignment that is not their original thought or work.*

**Motion:**  
**that Senate, on the recommendation of the Committee on Academic Integrity, approve the revisions to the Academic Integrity Policy effective July 1, 2023, as circulated.**

***Information***

- ii. Academic Integrity Office 2021-2022 Annual Report**
- iii. Research Integrity Policy Report**

The Committee received the Academic Integrity Office Annual Report and the Research Integrity Policy Report, which have been included for Senate's information.

**Senate: FOR APPROVAL/INFORMATION**  
**May 17, 2023**



## Proposed Changes and Updates to AI Policy

### 1. Change to Records of the Offence (42.)

To reduce the duration academic integrity records are retained to ten years to align the Policy with requirements for compliance and risk management records. This change will also align McMaster with other Universities regarding FIPPA regulations pertaining to record retention. Currently, students can request a record be destroyed 2 years after the date of the offence if they are cleared to graduate. The industry best practice is to retain records for ten years after the date of the offence.

#### Current wording:

“The Office of Academic Integrity shall maintain a record of each finding of academic dishonesty against a student. This paper record will be retained for a period of **at least seven years before being destroyed and replaced with an electronic record to be kept indefinitely**. The purpose of this record, which shall be kept separate from any other of the student’s records, is to determine whether there has been a previous offence, before a penalty is levied. Such a record of offences shall not be used for any other purpose.”

#### New wording:

“The Office of Academic Integrity shall maintain a record of each finding of academic dishonesty against a student. **This record will be retained for a period of ten years before being destroyed**. The purpose of this record, which shall be kept separate from any other of the student’s records, is to determine whether there has been a previous offence, before a penalty is levied. Such a record of offences shall not be used for any other purpose.

### 2. Proposed update to language in Appendix 2.

Various changes to wording within appendix 2 have been proposed as they relate to:

1. Hearings held by online video conference instead of in person. In person is still available if requested.
2. The primary form of communication being the McMaster email address.

### 3. Proposed change to Faculty Adjudicator Reporting: Appendix 1

Removal of the requirement to summarize all case work. The purpose is to eliminate this redundant and time-consuming work from the Faculty Adjudicator's role to allow increased focus on recommendations regarding the Academic Integrity Policy and process. In recent years, summaries have not been utilized when provided.

#### Current wording:

The Faculty Adjudicators shall report to the Office of Academic Integrity by October 31st of each year, **summarizing their work in the previous year and making** recommendations regarding modifications to the policies and procedures under which they operate. These recommendations will be included for inclusion in the Office's annual report to Senate.

#### New wording:

**The Faculty Adjudicators, should they wish to make recommendations regarding modifications to the policies and procedures under which they operate, shall report in writing to the Office of Academic Integrity by October 31<sup>st</sup> of each year.**

### 4. Proposed Addition to Appendix 3: Academic Dishonesty Explanations

Since November 2022 numerous generative artificial intelligence tools have been introduced online. These tools can be used in a negative way allowing a learner to commit academic dishonesty on work submitted for academic assessment. The addition of this language to the policy is to define generative artificial intelligence and make expectations around use clear. This is the definition that we have adopted within our University FAQ.

#### Proposed wording:

##### **Generative Artificial Intelligence**

Generative AI tools are advanced language models that utilize deep learning algorithms to produce human-like text based on given prompts. There are also generative artificial intelligence tools that produce code, images, videos, presentations, and audio.

Instructors must be clear in their assignment directive as to whether they are (1) explicitly prohibiting use or (2) setting specific parameters around the permitted use of generative artificial intelligence tools.

Students are directed to assume all assignments and tests are intended to be done without the use of generative artificial intelligence unless otherwise directed by the instructor. Students are expected to ask questions and clarify if they are unsure of the instructor's expectations. If permitted to use generative artificial intelligence tools in an assessment, it is expected they will use standard citation rules to identify any part or section for their assignment that is not their original thought or work.



## Policies, Procedures and Guidelines

Complete Policy Title

**Academic Integrity Policy**

Policy Number (if applicable):

Approved by

**Senate**

Date of Most Recent Approval

**May 18, 2022, effective July 1, 2022**

Date of Original Approval(s)

**March 13, 2002**

Supersedes/Amends Policy dated

**July 1, 2020  
May 16, 2018  
February 10, 2016**

Responsible Executive

**Academic Integrity Officer**

Policy Specific Enquiries

[Academic Integrity Office](#)

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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## PREAMBLE

1. The main purpose of a university is to encourage and facilitate the pursuit of knowledge and scholarship. The attainment of this purpose requires the individual integrity of all members of the University community, including all graduate and undergraduate students. Scholars at McMaster demonstrate integrity in many ways, including the following:
  - Scholars practice intellectual honesty in the process of acquiring and extending knowledge. They do this by improving scholarly competence, and by exercising critical thinking and self-discipline.
  - Scholars show respect for and courtesy to others in free discussions on academic topics and recognize the right to free inquiry and opinion.
  - Scholars adhere to ethical requirements in their research.
  - Scholars acknowledge fully the work of others by providing appropriate references in papers, essays and the like and declaring the contributions of co-workers. Scholars do not take credit that is not earned.
  - Scholars strive to ensure that others are not put at a disadvantage in their pursuit of knowledge. They do not withhold material that should rightly be available to all.

The University states unequivocally that it demands scholarly integrity from all of its members. Academic dishonesty, in whatever form, is ultimately destructive to the values of the University; furthermore, it is unfair and discouraging to those students who pursue their studies honestly.

2. This Policy applies to all registered students, to students who have withdrawn or graduated if it is alleged that they committed academic dishonesty during the time they were registered students or in order to obtain admission or registration, and to students who have withdrawn from the University but who submit work for academic evaluation for the purpose of gaining readmission.

## RELATED POLICIES

3. This document is to be read in conjunction with the following University policies and statements:
  - a) **Research Integrity Policy**  
Cases of alleged research misconduct that involve funded research a student is doing outside of course work shall normally be governed by the procedures contained in the [Research Integrity Policy](#).
  - b) **Code of Student Rights and Responsibilities**  
The [Code of Student Rights and Responsibilities](#) governs the non-academic behaviour of students, whereas this Policy governs academic behaviour. In some instances, a student's behaviour may involve both academic and non-academic issues, in which case the student may, at the discretion of the instructor or administrator involved, be subject to the procedures of either or both policies.

## RESPONSIBILITIES

### All Members of the University Community

4. All members of the University community (students, faculty, instructors, staff and invigilators) have responsibility for the maintenance of an atmosphere of academic integrity in all phases of academic life, including research, teaching, learning and administration.
5. All members of the University have the responsibility to:
  - a) detect and report incidents of academic dishonesty, falsification of documents, etc.; and
  - b) provide assistance and co-operation in the prosecution of alleged offenders.

### Office of Academic Integrity

6. The purpose of this office is to assist instructors, students and staff with issues of academic integrity. Responsibilities include:
  - a) planning and coordinating academic integrity education and academic dishonesty prevention activities;
  - b) assisting with instructor education and developing programs concerning integrity issues by serving as a resource and providing educational materials;
  - c) providing advice to instructors, students, Faculties, the Office of the Registrar and so on with respect to individual case investigation, documentation and presentation;
  - d) providing procedural advice to and administrative support for Faculty Adjudicators in the hearing of academic dishonesty charges;
  - e) acting as a resource for Faculty Adjudicators with respect to sentencing practices and student history of dishonesty;
  - f) storing all documentation on academic dishonesty cases that take place at the instructor and Faculty levels and providing an annual written report to the University Senate on activities and dishonesty cases on behalf of all Faculties;
  - g) tracking complaints and making inquiries about suspected incidents of academic dishonesty that have not been pursued; and
  - h) recommending to Senate, from time to time, guidelines with respect to appropriate sanctions for certain offences, such guidelines to be affixed to this Policy as **Appendix 4**.

### Administration

7. The term "Administration", as used in this Policy, refers to individuals and entities responsible for the University's academic programs. They include: Department Chairs, Directors of Schools and Programs, Associate and Assistant Deans, Deans, the ~~Associate Vice President (Academic)~~ Vice-Provost, Teaching and Learning, the Deputy Provost, the Provost, and the Senate. Administrators are responsible for developing and updating policies and procedures related to maintaining the academic integrity of the

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University community. In addition, they are responsible for providing resources so that members of the University are able to function with integrity in their academic pursuits. These resources may include:

- a) disseminating information about the expectations for academic integrity;
- b) developing, or assisting instructors to develop, guidelines to be used by instructors in preparing course outlines that clearly articulate expectations;
- c) providing testing environments, examination protocols (e.g., seating plans) and expectations for the review of examinations to make the opportunity for academic dishonesty more difficult; and
- d) providing the resources to support an Office of Academic Integrity.

#### Office of the Registrar

8. The Office of the Registrar is responsible for developing policies and procedures to detect misrepresentation of credentials during the admissions process and to maintain academic integrity during the writing of Registrar-administered examinations. For graduate students, the Graduate Registrar of the School of Graduate Studies has the same responsibilities regarding the admissions process.

#### Faculty Adjudicators (see also Appendix 1)

9. Faculty Adjudicators are responsible for adjudicating allegations of academic dishonesty, including making sure that the case is heard in a timely manner, the penalty is appropriate for the circumstances and in the light of previous precedents and practice, and the results are communicated to all the relevant parties.

#### Instructors

10. Instructors are responsible for using educational strategies that encourage students to behave honestly. These may include:
  - a) clearly articulating expectations about appropriate academic behavior at the beginning of the course;
  - b) developing course outlines that clearly set out expectations for referencing sources of information, for group work and so on;
  - c) using mechanisms during testing that reduce or eliminate the opportunities for copying, e.g., test facilities and randomized seating;
  - d) regularly producing new tests/examinations, especially for deferred examinations;
  - e) producing new assignments (such as laboratories and essay and report topics) on a regular basis to discourage copying from previous years' assignments; and
  - f) asking students to sign declarations that the work submitted is their own as a reminder of the necessity for academic integrity and the consequences of academic dishonesty.

**Students (Undergraduate and Graduate)**

11. Students are responsible for being aware of and demonstrating behaviour that is honest and ethical in their academic work. Such behaviour includes:
  - a) following the expectations articulated by instructors for referencing sources of information and for group work;
  - b) asking for clarification of expectations as necessary;
  - c) identifying testing situations that may allow copying;
  - d) preventing their work from being used by others, e.g., protecting access to computer files; and
  - e) adhering to the principles of academic integrity when conducting and reporting research.
12. Students are responsible for their behaviour and may face penalties under this Policy, if they commit academic dishonesty.

**Graduate Students**

13. Graduate students, having been deemed admissible to higher studies, are expected to be competent in the acknowledgement of other peoples' work, whether that work is in print or electronic media.
14. Graduate education concentrates on the formation of appropriate research skills and prepares students to undertake independent inquiry. All graduate students are responsible for familiarizing themselves with the definitions of research integrity and research misconduct in the University policies.

**Committee on Academic Integrity**

15. The Committee on Academic Integrity is responsible for making recommendations to the Senate on policy and procedures relating to issues of academic integrity and on measures designed to reduce instances of academic dishonesty. Additionally, the committee reviews the annual report prepared by the Office of Academic Integrity prior to its presentation to the Senate.

**ACADEMIC WORK**

16. Academic work includes any academic paper, term test, proficiency test, essay, thesis, research report, evaluation, project, assignment or examination, whether oral, in writing, in other media or otherwise and/or registration and participation in any course, program, seminar, workshop, conference or symposium offered by the University.<sup>1</sup>

For graduate students, comprehensive/qualifying exams, any research work relating to a course, and thesis work (a thesis proposal, or thesis draft, or draft of one or more chapters) also constitute academic work and must adhere to standards of academic integrity.

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<sup>1</sup> The University of Toronto has a similar definition of academic work which it has shared with McMaster University for use in this policy.



## ACADEMIC DISHONESTY

### Definition

17. Academic dishonesty is to knowingly act or fail to act in a way that results or could result in unearned academic credit or advantage.

Wherever in this Policy an offence is described as depending on "knowingly", the offence is deemed to have been committed if the person ought reasonably to have known.

### ACADEMIC DISHONESTY OFFENCES

18. The following is a list of examples of academic dishonesty. It is not meant to be exhaustive. For fuller explanations of academic dishonesty, please refer to **Appendix 3**.

It shall be an offence knowingly to:

- a) plagiarize, i.e. submit academic work that has been, entirely or in part, copied from or written by another person without proper acknowledgement, or, for which previous credit has been obtained (see **Appendix 3**);
- b) submit the same academic work to more than one course (see **Appendix 3**);
- c) submit academic work for assessment that was purchased or acquired from another source;
- d) collaborate improperly on academic work (see **Appendix 3**);
- e) aid or abet another student's academic dishonesty;
- f) possession or use of unauthorized aids (e.g., cheat sheets, cell phones, etc.) in tests, examinations or laboratory reports;
- g) procure, distribute or receive an examination, test or course materials that are in preparation or storage for an academic assessment;
- h) remove, without authorization, academic work (e.g. previous assignments or laboratories) submitted by other students to the instructor;
- i) alter a grade on academic work after it has been marked and using the altered materials to have the recorded grade changed;
- j) steal, destroy or tamper with another student's academic work;
- k) prevent another student(s) from completing a task for academic assessment;
- l) fail to take reasonable precautions to protect academic work such as assignments, projects, laboratory reports or examinations from being used by other students;
- m) misrepresent academic credentials from other institutions or submit false information for the purpose of gaining admission or credits;
- n) submit false information or false medical documentation to gain a postponement or advantage for any academic work, e.g., a test or an examination;
- o) forge, alter or fabricate McMaster University documents;

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- p) forge, alter or fabricate transcripts, letters of reference or other official documents;
- q) impersonate another student either in person or electronically for the purpose of academic assessment;
- r) provide a false signature for attendance at any class or assessment procedure or on any document related to the submission of material where the signature is used as proof of authenticity or participation in the academic assessment; and,
- s) commit research misconduct (see **Appendix 3**), which shall include:
  - i) the misrepresentation, fabrication or falsification of research data;
  - ii) the abuse of confidentiality with regard to information and ideas taken from manuscripts, grant applications or discussions held in confidence; and
  - iii) other kinds of misconduct, such as: the improper use of equipment, supplies, facilities, or other resources; the failure to respect University policies on the use of human subjects or animals.
- t) Contract Cheating is the act of "outsourcing of student work to third parties" (Lancaster & Clarke, 2016, p. 639) with or without payment.

**PROCEDURES IN CASES OF ACADEMIC DISHONESTY**

**The Person Responsible for Bringing a Charge (The University Representative as identified in clauses 19-21)**

- 19.
- a) The primary responsibility for bringing a charge of academic dishonesty involving academic work submitted for credit in a course rests with the instructor of the course. A course instructor may designate this authority to an appropriate member of the course teaching team.  
Examples:
    - i) In the case of a take-home assignment (paper, essay, book review, etc.) the marker must bring the suspicion of academic dishonesty to the attention of the instructor.
    - ii) In an in-class test or examination, the invigilator must bring the suspicion of academic dishonesty to the attention of the instructor.
    - iii) In a University-administered examination, the invigilator must report his or her suspicion that academic dishonesty may have occurred to the Chief Presider. The Chief Presider shall give a full report, together with any confiscated material, to the Associate Registrar (Examinations and Schedules), who shall report the matter to the instructor.
  - b) The primary responsibility for bringing a charge against a graduate student suspected of academic dishonesty in a Master's project, thesis work or a thesis rests with the student's supervisor.
  - c) The primary responsibility for bringing a charge against a graduate student suspected of academic dishonesty in a comprehensive examination rests with the member(s) of the examining committee who detect(s) it.

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- d) The primary responsibility for bringing a charge against a graduate student suspected of research misconduct (as defined in the [Research Integrity Policy](#)) not included in any of the previous categories rests with the student's supervisor.
  - e) The primary responsibility for bringing a charge against a student suspected of falsifying and/or using falsified documents (e.g. transcripts, letters of reference, medical documentation) rests with the appropriate University Officer (e.g., the Registrar, the Graduate Registrar, an Associate Dean, etc.).
  - f) The primary responsibility for bringing a charge against a student suspected of academic dishonesty, of a nature that does not clearly fall within the preceding clauses, shall rest with the appropriate instructor or University Officer. For example, if a student steals and/or is found to be in possession of stolen examination copy, the primary responsibility rests with the instructor responsible for the course.
20. When the person who bears the primary responsibility fails to bring a charge within a reasonable time, the Department Chair or School/Program Director may bring a charge. If the Chair or Director does not bring a charge within a reasonable time, then the appropriate Associate Dean (as identified by the Office of Academic Integrity) may do so.
21. Any person who believes that a student has committed academic dishonesty, including research misconduct, may submit a signed statement, including all relevant evidence, to the appropriate Associate Dean (as identified by the Office of Academic Integrity). The Associate Dean will conduct an investigation and, if appropriate, bring a charge.

#### Contacting the Student

22. The University Representative shall:
- a) notify the student of the nature of the charge of academic dishonesty, the evidence against him/her, and the procedures to be followed;
  - b) provide the student a fair opportunity to answer the charge within two weeks after contacting the student; and
  - c) if the charge relates to a course in which the student is registered, inform the student, the Registrar, and the student's Associate Dean that, while under investigation for academic dishonesty, the student shall not be permitted to withdraw from the course concerned (see clause 39).

#### Determining that an Offence has been Committed

23. The University Representative shall determine, based on their discussion with the student and a review of all relevant evidence, whether an offence has been committed.
24. When the University Representative determines that there are no grounds for a charge or there is insufficient evidence with which to proceed, they shall so inform the student in writing (with a copy to the Registrar and the student's Associate Dean, if they were informed under the terms of clause 22 (c)) within 10 working days of their meeting with the student. This does not preclude a University Representative from bringing a charge at a later date, should new evidence become available.

#### Checking for Previous Offences

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25. When the University Representative determines that an offence has taken place, and before deciding on a penalty, they shall check with the Office of Academic Integrity to determine if it is a first offence.

#### Instructor-Imposed Penalties for First Offences

26. In the case of undergraduate students, if there is no previous offence on record and none of the conditions in clause 27 apply, an instructor can impose penalties of:
- a) a reduction of the mark on the piece of academic work; or
  - b) a mark of zero for the piece of academic work; or
  - c) if the piece of academic work is worth less than 5% of the course grade, a course grade reduction of up to 5%.

The instructor shall notify the student, in writing, of the penalty and of the student's right of appeal to the Faculty Adjudicator (through the Office of Academic Integrity) generally within 20 working days after the instructor first contacts the student with a suspicion of academic dishonesty. The instructor shall also report the penalty, and a brief description of the case, to the Office of Academic Integrity and the student's Associate Dean. A penalty levied by an instructor takes place immediately and shall not be stayed by an appeal.

For graduate students, see clause 27 below.

#### Referral of First Offences

27. The University Representative also shall refer a case to the Office of Academic Integrity, if:
- a) they believe a penalty greater than zero for the piece of work concerned is warranted;
  - b) there are multiple charges against the student;
  - c) the student is a **graduate student**; and/or
  - d) the alleged offence does not relate to the work in a course (e.g., presentation of falsified documents).

When a University Representative refers a case to the Office of Academic Integrity, they shall inform the student, the student's Associate Dean and the Registrar.

The Office of Academic Integrity will inform the appropriate Faculty Adjudicator<sup>2</sup> and commence the procedures described in clauses 29 to 38 below.

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<sup>2</sup> Unless otherwise specified, the appropriate Faculty Adjudicator shall be.:

- a) in cases involving academic work submitted for credit in a course by an undergraduate student, the Faculty Adjudicator for the Faculty that received the academic work for assessment,
- b) in all other cases involving undergraduate students, the Faculty Adjudicator of the Faculty in which the student was last registered,
- c) for courses in interdisciplinary units or for students registered in programs that are not under the jurisdiction of a Faculty, a Faculty Adjudicator assigned by the Office of Academic Integrity, and
- d) in all cases involving graduate students, the Faculty Adjudicator for the School of Graduate Studies.

#### Referral of Second or Subsequent Offences

28. If there is a previous offence on record, the University Representative shall refer the case to the Office of Academic Integrity and so inform the student, the student's Associate Dean and the Registrar. The Office of Academic Integrity will inform the appropriate Faculty Adjudicator<sup>2</sup> and commence the procedures described in clauses 29 to 38 below.

#### Adjudication Without a Hearing

29. If the student charged with academic dishonesty admits guilt and the University representative, the student and the Faculty Adjudicator are all in agreement that a Hearing is not required to determine the penalty, the Faculty Adjudicator may make a decision regarding the penalty based on the written submissions of the complainant and the student.

#### Hearing by Faculty Adjudicator

30. In other cases referred to the Faculty Adjudicator, a Hearing shall be held in accordance with the procedures set out in **Appendix 2**. The Hearing shall normally be held no later than one month after the date the Office of Academic Integrity receives the case. At the Hearing, it shall be the responsibility of the University Representative to provide evidence to the Faculty Adjudicator that the student committed academic dishonesty. Decisions of the Faculty Adjudicator with respect to the student's guilt or innocence shall be based on a preponderance of evidence, meaning the evidence shows it is more likely than not that the student committed academic dishonesty.
31. Only after the Faculty Adjudicator has determined that academic dishonesty has been committed, and before deciding on a penalty, they shall inquire of the Office of Academic Integrity whether there is a record of a previous offence in the student's file.
32. If the Hearing is for an appeal by a student of the decision of an instructor that the student committed academic dishonesty and/or of the penalty imposed by the instructor, it shall be the responsibility of the instructor to provide evidence of the student's guilt and of the appropriateness of the penalty.
33. The Faculty Adjudicator may take the following action:
- dismiss the case, or
  - make a finding of academic dishonesty and impose one or more penalties as described in clause 34 below.

#### Penalties

34. The following penalties may be imposed by the Faculty Adjudicator upon any student found to have committed academic dishonesty. Repeated and/or multiple violations will increase the severity of the penalty. Academic dishonesty committed by graduate students will have more serious consequences than that committed by undergraduate students. When there is a finding of academic dishonesty relating to a course, the student shall not be permitted to withdraw from the course in question. Penalties may be used independently or in combination for any single violation.

35. Penalties include:

- a) a letter reporting the academic dishonesty offence, sent to the student and copied to the Office of Academic Integrity, the student's Associate Dean, the Registrar and/or the Graduate Registrar;
- b) a reduction of the mark on the piece(s) of academic work;
- c) a mark of zero for the piece(s) of academic work;
- d) a reduction of the course grade;
- e) zero for the course with a transcript notation as provided in clause 47;
- f) denial of permission to use facilities of the University, including computer facilities and laboratories, for a designated period of time;
- g) denial of permission to register;
- h) cancellation of registration;
- i) suspension, i.e., the withdrawal by the University of all academic privileges for a specified period of time, after which the student is eligible to return;
- j) expulsion, i.e., the withdrawal by the University of all academic privileges for an indefinite period of time;
- k) a recommendation to Senate to rescind the student's degree;
- l) a transcript notation as provided in clause 46; and
- m) such other penalties as may be appropriate in the circumstances.

For **graduate students** all of the above penalties may be assessed in addition to:

- n) a letter reporting the academic dishonesty offence to be placed in the student's academic file at the School of Graduate Studies and in the student's program/department file; and
- o) a recommendation that the supervisory committee meet to assess the progress of the student and consider assigning a grade of unsatisfactory. An executive summary of the Faculty Adjudicator's decision will be released by the Office of Academic Integrity to the committee.

Suspension and expulsion entail transcript notations as described in clauses 48 and 49. Prohibiting a student from registering for a specified period of time does not entail a transcript notation.

**Notification of Decision**

- 36. The Faculty Adjudicator shall, within ten working days of the hearing, inform the student, the instructor, the University Representative (if other than the instructor), the Office of Academic Integrity, the Registrar, and the student's Associate Dean, in writing, of the decision/recommendation in each case.
- 37. When the Faculty Adjudicator decides that a student's degree should be rescinded, they shall forward that recommendation to Senate for approval, and the Secretary of the Senate shall inform the individuals listed in the previous clause of the Senate's decision.

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38. When a student is found guilty of academic dishonesty and a penalty is levied by the Faculty Adjudicator and/or the Senate, the student shall also be informed of his or her right of appeal to the Senate Board for Student Appeals.
39. A penalty takes effect when specified by the Faculty Adjudicator and shall not be stayed by an appeal.

#### Student's Status: Transcripts and Registration

40.
  - a) When a charge of academic dishonesty is made against a student, until the case has been resolved, the student will not be issued transcripts directly but, at the student's request, transcripts will be sent to institutions or potential employers. If the student is subsequently found guilty and the conviction results in a transcript notation, the recipients of any transcripts will be so informed by the Registrar.
  - b) While under investigation for, or subsequent to being found guilty of, academic dishonesty in a course(s), a student shall not be permitted to withdraw formally from that course(s).
  - c) While under investigation for academic dishonesty, a student shall not be permitted to withdraw formally from the University.

#### Right of Appeal

41. A decision and/or a penalty imposed under the above procedures may be appealed within three weeks after the student has been advised of the decision and/or penalty as follows:
  - a) Decisions of the instructor may be appealed to the Faculty Adjudicator, by submitting a request in writing to the Office of Academic Integrity on a form prescribed by that Office.
  - b) Decisions of a Faculty Adjudicator or of the Senate, (pursuant to clauses 36 and 37), may be appealed by the student to the Senate Board for Student Appeals.

#### Records of the Offence

42. The Office of Academic Integrity shall maintain a record of each finding of academic dishonesty against a student. This ~~paper~~ record will be retained for a period of ~~at least seven~~ years before being destroyed ~~and replaced with an electronic record to be kept indefinitely~~. The purpose of this record, which shall be kept separate from any other of the student's records, is to determine whether there has been a previous offence, before a penalty is levied. Such a record of offences shall not be used for any other purpose.
43. When the penalty does not involve a transcript notation, the student may petition the Office of Academic Integrity to destroy the record of the offence. Such a petition cannot be made for a period of two years subsequent to the date on which the student was charged. If the petition is granted, the record shall not, however, be destroyed before the student is clear to graduate.
44. When a penalty includes a letter being placed in a graduate student's academic files, the student may petition the Office of Academic Integrity to have the letters destroyed. Such a petition cannot be made for a period of two years subsequent to the date on which the student was charged. If the petition is granted, the record shall not, however, be destroyed before the student is clear to graduate.

45. When the penalty does involve a transcript notation, and the student's petition to delete the transcript notation has been granted by the Senate, the record of the offence shall be destroyed by the Office of Academic Integrity when the transcript notation is deleted (see clauses [47, 45 and 48](#) and [49, 46](#) below).
46. In the event that the case is dismissed, all records of the proceeding shall be removed from the student's file.

#### Transcript Notations

47. General Notation

(for notations not associated with a grade of "F", suspension, expulsion or rescinded degrees).

When a Faculty Adjudicator determines a student is guilty of an academic dishonesty offence under the Policy that does not warrant a grade of "F", suspension, expulsion or a rescinded degree they can assign a general notation that reads "Student found guilty of Academic Dishonesty on (list date here). This notation will be automatically removed on (insert date here)."

No petition to Senate is required for removal of this General Notation. Such notations cannot be permanent and must include a removal date and year.

48. When a grade of "F" in a course has been levied against a student found guilty of academic dishonesty, the notation "Grade of F assigned for academic dishonesty" shall appear on the student's transcript opposite the course. Provided there are no subsequent findings against the student, the notation will be removed, and the record of the offence destroyed, upon the shorter of:
  - 1) five years\* after the effective date of the penalty; **or**
  - 2) two years\* after graduation.

The Academic Integrity Officer will provide to the University Registrar, by the end of each term a list of notations to be removed. \*Notations will be removed on either April 30, August 31, or December 31 following completion of the relevant time period noted above. The number of notations removed each year under this process must be included in the annual report to the University Senate referred to in clause 6.f of the *Academic Integrity Policy*.

49. When a student is suspended, the notation will read: "Suspended by the Senate for academic dishonesty for \_\_\_ months effective (date suspension starts)." A student may petition Senate for removal of such a notation subject to the following conditions:
  - a) If the student returned to McMaster University:
    - 1) at least 2 years must have elapsed since the effective date of the suspension; **and**
    - 2) the student must have been cleared to graduate.
  - b) If the student did not resume studies at McMaster University:
    - 1) at least 5 years must have elapsed since the effective date of the suspension.



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50. When a student is expelled, the notation will read: "Expelled by the Senate for academic dishonesty (effective date)".

If at some later date the student is reinstated, an additional notation will read: "Reinstated by the Senate (effective date)".

Such notations may be removed from a student's transcript on petition to Senate, but not before five years after the effective date of the expulsion.

51. When a student's degree is rescinded, the notation will read: "Degree rescinded by the Senate for academic dishonesty (effective date)". Such notations are permanent.

**APPENDIX 1: FACULTY ADJUDICATORS****Guidelines for Selection and Operation**

1. The Provost, in consultation with the Faculty Deans and the Dean of Graduate Studies, shall make recommendations regarding the appointment of adjudicators to the Senate Committee on Appointments. Adjudicators shall be appointed by Senate for a renewable three-year term, to a maximum of two terms. A Faculty and the School of Graduate Studies may choose to have more than one Faculty Adjudicator, but no more than three should be appointed within a Faculty or the School of Graduate Studies.
2.
  - a) If a Faculty Adjudicator is not available to hear a case within a reasonable time, the Office of Academic Integrity may refer the case to another adjudicator in the same or a different Faculty.
  - b) Cases involving graduate students shall be adjudicated by the Faculty Adjudicator(s) appointed for the School of Graduate Studies.
  - c) The Office of Academic Integrity shall ensure that all Faculty Adjudicators receive appropriate training to discharge their responsibilities.
  - d) In the event that a Faculty Adjudicator has any direct interest or prior involvement in a case under consideration, another Faculty Adjudicator from the same or a different Faculty shall be appointed to hear the case.
  - e) ~~The Faculty Adjudicators shall report to the Office of Academic Integrity by October 31<sup>st</sup> of each year, summarizing their work in the previous year and making recommendations regarding modifications to the policies and procedures under which they operate. These recommendations will be included for inclusion in the Office's annual report to Senate.~~

The Faculty Adjudicators, should they wish to make recommendations regarding modifications to the policies and procedures under which they operate, shall report in writing to the Office of Academic Integrity by October 31<sup>st</sup> of each year."

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**APPENDIX 2: PROCEDURAL RULES FOR A HEARING**

All Hearings convened under this Policy shall be held by video conference and will follow the procedures detailed below. In-person hearings are available on request.

**Parties to a Hearing**

1. Parties to a Hearing shall include the University Representative, and the student against whom the allegation of academic dishonesty has been made or who is appealing an instructor's decision that they committed academic dishonesty and/or the instructor's penalty.

**Notice of Hearing**

2. The Parties shall be given reasonable, written notice of the hearing. In the case of the student, the notice shall be sent by email to the student's McMaster email address, registered mail to the student's last known address, as recorded in the Registrar's Office or School of Graduate Studies, and shall be deemed to be received one week after it was mailed. This email is considered received if sent via the student's @mcmaster.ca account.

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**Closed/Open Hearings**

3. Hearings are normally open, but any Party to the proceeding may request a closed Hearing.
4. The Faculty Adjudicator shall determine in their sole discretion whether sufficient cause for closing exists. In the event that there is insufficient cause, the Hearing shall remain open.

**Scheduling of Hearing**

5. An attempt shall be made to schedule the video conference Hearing at a time and place convenient for all Parties. However, if a Party, who has been notified of a Hearing date, is absent without contacting the Faculty Adjudicator/Office of Academic Integrity with a satisfactory explanation, the Hearing may proceed in their absence.

**Advisor**

6. The student shall have the right to have an advisor in attendance present at the Hearing. Such advisor may consult with the student but shall not be allowed to speak at the Hearing. Advisors shall not include legal counsel for the purposes of these Hearings.

**Evidence**

7. The student is entitled to receive, prior to the Hearing, reasonable particulars in writing of the allegation(s) against him/her.
8. Parties have the right to submit written and documentary evidence electronically in support of their cases, prior to the Hearing, and to receive electronic copies of any such evidence submitted by the other Party.

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All written and documentary evidence is to be provided to the opposing party not less than five days prior to the hearing.

9. Parties have the right to present evidence at the Hearing, including their own testimony and any further written and documentary evidence in support of their cases and to receive electronic copies of any such evidence submitted by the other Party.
10. The Faculty Adjudicator may consider and grant a recess or an adjournment at the request of either party to allow them to review written or documentary evidence submitted electronically at the Hearing.
11. The Faculty Adjudicator may require the production of written or documentary evidence by the Parties or by other sources. The Faculty Adjudicator has the power to call their own witnesses.
12. The Faculty Adjudicator must not hear evidence or receive representations regarding the substance of the case other than through the procedures described in this Policy.
13. The Faculty Adjudicator may admit as evidence at a Hearing any oral testimony and any document, written statement or other thing, relevant to the subject matter of the proceeding. The Faculty Adjudicator is not bound by the laws of evidence applicable to judicial proceedings.

#### Witnesses

14. Parties to the Hearing have the right to call, question and cross-examine witnesses. Parties are responsible for producing their own witnesses and paying for any costs associated with their appearance.
15. The Faculty Adjudicator may limit testimony and the questioning of witnesses where they are satisfied that the testimony and questioning has been sufficient to disclose fully and fairly all matters relevant to those matters they considers relevant to the disposition of the case.
16. The witnesses will stay in the Hearing only while they are testifying and responding to questions.

#### Similar Questions of Fact or Policy

17. If two or more proceedings before Faculty Adjudicator(s) involve the same or similar questions of fact or policy the Faculty Adjudicator(s) may:
  - a) combine the proceedings or any part of them,
  - b) hear the proceedings at the same time, or
  - c) hear the proceedings one immediately after the other.

#### Recording

18. Although the hearing shall be audio-taped-recorded in order to obtain an accurate record of the proceedings, such recording is done for convenience purposes only and the malfunction of the recording device or subsequent loss of the recording shall not invalidate, in any way, the related hearing. The electronic file of the recording tape shall be held in confidence by the Office of Academic Integrity for a period of three years from the date of the hearing. Any party to the appeal may request access to the

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| [recordingtape](#), and the reproduction thereof, upon reasonable notice and payment of the reasonable costs associated therewith.

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**Order of Proceedings**

19. The order of the proceedings shall be as follows:
  - a) The University Representative shall present the charge, any supporting evidence and shall call any witnesses. The student and the Faculty Adjudicator shall be permitted to question each witness at the end of their testimony. The University Representative shall be permitted to clarify any new points arising from such questioning.
  - b) The student shall present their evidence and shall call any witnesses. The University Representative and the Faculty Adjudicator shall be permitted to question each witness at the end of their testimony. The student shall be permitted to clarify any new points arising from such questioning.
  - c) The University Representative may respond to any evidence presented by the student in (b) above.
  - d) The Parties will be permitted an opportunity to summarize their respective cases. The summary should address both the substance of the alleged offence and the appropriate penalty in the event that the allegation is determined to be valid. The student, if he or she wishes, may submit their penalty suggestions in writing to be read by the Faculty Adjudicator when deciding an appropriate penalty after concluding the allegation is valid.

**Adjournment**

20. The Faculty Adjudicator may grant an adjournment at any time during the Hearing to ensure a fair Hearing.

**Appropriate Procedures**

21. Where any procedural matter is not dealt with specifically in this Policy, the Faculty Adjudicator may, after hearing submissions from the Parties and considering the principles of fairness, establish an appropriate procedure.
22. Any procedural requirement contained in this Policy may be waived with the consent of the Faculty Adjudicator and of all Parties.

**APPENDIX 3: ACADEMIC DISHONESTY EXPLANATIONS****Explanation**

1. Academic dishonesty may occur in a variety of situations. This Appendix includes many examples but is not an exhaustive list of examples of academic dishonesty.

**Plagiarism**

2. Plagiarism, which is the submission of material that has been, entirely or in part, copied from or written by another person, without proper acknowledgment, is probably the most common form of academic dishonesty. All material, including information from the internet, anonymous material, copyrighted material, published and unpublished material and material used with permission, must be properly acknowledged. There are two aspects to using material from other sources of which students should be aware. In a direct quotation of text or material, it is important to distinguish the text or material that has been taken from the other source. Common methods of identification of directly quoted material include indentation, italics, quotation marks or some other formatting change to separate the quoted material from the student's own work. Indirectly quoted material involves expressing an idea, concept or interpretation that one has obtained from another source, in one's own words. Direct and indirectly quoted material requires a reference or footnote in the text and full citation in the references or bibliography, in accordance with the standards appropriate to the discipline.

**Oral Presentations**

3. In the case of oral presentations, the use of material that is not one's own, without proper acknowledgment or attribution, constitutes plagiarism and, hence, academic dishonesty.

**Music**

4. In Music, the imitation of style is an integral part of the student's work. In applied music, for example, a student may be required to model an interpretation of a piece around that of a particular performer, and in music theory courses it is a routine procedure to imitate the stylistic characteristics of particular periods and even of particular composers. Nevertheless, it is possible to draw certain lines. For example, it would obviously be improper for a student to submit as personally representative, a tape recording of someone else performing. It would also be wrong, just as it would be in the case of an essay, for a theory or composition student to hand in as personal work, material composed by another. Clearly, the imitation of style ceases to be legitimate when the student begins to draw upon actual notes or sounds attributable to another person. This would not preclude a professor from, say, giving the student material to work with from a pre-existent composition (for example, a figured bass, or a fugue subject) providing the sum and substance of the work from that point on were the student's own.

**Studio Art**

5. Students of studio art (painting, sculpture and print-making) may be guilty of plagiarism if they submit for evaluation as course assignments works executed in their entirety by someone else, or in part by someone other than the instructor. Similarly, copying works from sources not authorized by the instructor

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may be regarded as improper borrowing, which is analogous to plagiarism and is an act of academic dishonesty.

#### Computer Software

6. The improper use of the computer files and programs of others may constitute academic dishonesty. The instructor who is responsible for specifying the way in which the work is to be done determines the degree of permissible co-operation among students. Students who allow their computer files or assignments to be copied are as guilty of academic dishonesty as those who copy. Each student is responsible for protecting his or her computer file by keeping the password secret and changing it frequently.

#### Multiple Submissions of the Same Material

7. The submission of an assignment, report or essay, which has been submitted at an earlier date for a different course, is an act of academic dishonesty unless the instructor has specifically authorized it in advance. The submission of the same essay in each of two courses, which are being taken concurrently, is acceptable only if both instructors have given prior approval.

#### In Tests and Examinations

8. In all tests and examinations, including take-home examinations, students are expected to work strictly on their own, using only aids authorized for use in the examination or test area by instructors or invigilators, or when group work has been explicitly authorized by the instructor. Copying or using unauthorized aids constitutes academic dishonesty.

#### Inappropriate Collaboration

9. Collaborative learning is a valuable method of instruction that is utilized by many instructors at McMaster University. Students will often be encouraged to discuss ideas and concepts with one another to facilitate the learning process. A distinction must be drawn, however, between collaborative learning and collaboration on assignments. Assignments, projects, reports, etc. are required to be completed by an individual unless the instructor indicates some kind of collaboration is permissible.
10. Inappropriate collaboration occurs when students work together on an assignment that was intended as an individual assignment or when students work together in groups beyond the degree of permissible collaboration.
11. Instructors are expected to outline the appropriate level of collaboration on course outlines and/or on each assignment. When group work is acceptable, but not required, the instructor is responsible for specifying the way in which the work is to be done and for determining the degree of permissible collaboration among the students.
12. Students are directed to assume all assignments are intended to be done individually unless otherwise directed by the instructor. Students are expected to ask questions and clarify the collaboration expectations for each assignment if they are unsure of the instructor's expectations. Students are also



expected to use standard citation rules to identify any part or section of their assignment that is not original.

**Research Misconduct**

13. The two principles underlying integrity in research in a University setting are these: a researcher must be honest in proposing, seeking support for, conducting, and reporting research; a researcher must respect the rights of others in these activities. Any departure from these principles will diminish the aegis of McMaster University. It is incumbent upon all members of the University community to practice and to promote ethical behaviour. (Please refer to the *Research Integrity Policy* for more details.)

**Contract Cheating**

14. Contract cheating can happen through “family and friends; academic custom writing sites; legitimate learning sites (eg. file sharing, discussion and micro-tutoring sites); legitimate non-learning sites (e.g., freelancing sites and online auction sites); paid exam takers; and pre-written essay banks”(Ellis Zucker, & Randall, 2018, p. 2).

The act of contract cheating, and its associated behaviors: undermines learning; erodes learning environments; damages learning relationships; places the student, the faculty/teacher, the educational organization, and society at risk from students who will graduate with knowledge gaps; undeserved academic awards; and a propensity to engage in dishonesty behaviors in their professional careers (Guerrero-Dib, Portales, & Heredia-Escorza, 2020; Harding, Carpenter, Finelli & Passow, 2004; Lancaster, 2020).” Used with permission from the [International Centre for Academic Integrity](#)

Generative Artificial Intelligence

15. Generative AI tools are advanced language models that utilize deep learning algorithms to produce human-like text based on given prompts. There are also generative artificial intelligence tools that produce code, images, videos, presentations, and audio.

14. Instructors must be clear in their assignment directive as to whether they are (1) explicitly prohibiting use or (2) setting specific parameters around the permitted use of generative artificial intelligence tools.

Students are directed to assume all assignments and tests are intended to be done without the use of generative artificial intelligence unless otherwise directed by the instructor. Students are expected to ask questions and clarify if they are unsure of the instructor’s expectations. If permitted to use generative artificial intelligence tools in an assessment, it is expected they will use standard citation rules to identify any part or section for their assignment that is not their original thought or work.

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**APPENDIX 4: GENERAL PENALTY GUIDELINES****Explanation**

1. Each case of academic dishonesty is investigated, heard and decided upon the merits of the case. The following penalty guidelines are general and can be adjusted by the Faculty Adjudicator hearing the case, according to the merits of the case to be harsher or more lenient.

**Admissions Fraud**

2. If a student is found to have gained admission to McMaster University through fraudulent means, the penalty is generally suspension or expulsion with a transcript notation.

**Undergraduate Students**

3. The first time an undergraduate student is found guilty of academic dishonesty, the penalty is generally either a letter or a grade reduction or a zero on the assignment in question, but is most often a zero.
4. The second time an undergraduate student is found guilty of academic dishonesty, the penalty is generally "F" in the course with a transcript notation.
5. The third time an undergraduate student is found guilty of academic dishonesty, the penalty is generally "F" in the course with a transcript notation and suspension or expulsion with a transcript notation.

**Undergraduate Serious First Offences**

6. If a student is found to have committed a serious first offence, the penalty is at the discretion of the Faculty Adjudicator and will be determined based on the merits of the case.

**Graduate Students**Course Work

7. The first time a graduate student is found guilty of academic dishonesty or research misconduct in course work, the penalty is generally assigned within the parameters of the course, e.g., a zero on the assignment or "F" in the course with a transcript notation.
8. The second time a graduate student is found guilty of academic dishonesty or research misconduct in course work, the penalty is generally suspension or expulsion with a transcript notation.

Comprehensive/Qualifying Examinations

9. If a graduate student is found to have committed academic dishonesty on a draft of a comprehensive/qualifying exam or on a comprehensive/qualifying exam, the penalty can range from a letter in the student's academic files to a failing grade on the exam to suspension or expulsion.

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Thesis Work

10. If a graduate student is found to have committed academic dishonesty on thesis work the penalty can range from a letter in the student's academic files to an Unsatisfactory on the relevant supervisory committee meeting report to suspension with a transcript notation or expulsion with a transcript notation depending on the severity of the offence.

Thesis

11. If a graduate student is found to have committed academic dishonesty on a thesis submitted for defense the penalty is generally suspension with a transcript notation or expulsion with a transcript notation.\*

*\* If the graduate student has a previous offence of academic dishonesty on their record, it will be considered as part of determining the appropriate penalty.*

**Consequences**

12. Many penalties assigned for academic dishonesty will have academic consequences for students, e.g. a zero on an assignment combined with the student's other grades in course work results in an "F" in the course; an "F" in a course when combined with the student's other grades may result in the student being put on academic probation, etc. These consequences will not be considered when deciding a penalty for academic dishonesty; the penalty is decided based on the merits of the case.

Complete Policy Title

**Academic Integrity Policy**

Policy Number (if applicable):

Approved by

**Senate**

Date of Most Recent Approval

**May 18, 2022, effective July 1, 2022**

Date of Original Approval(s)

**March 13, 2002**

Supersedes/Amends Policy dated

**July 1, 2020  
May 16, 2018  
February 10, 2016**

Responsible Executive

**Academic Integrity Officer**

Policy Specific Enquiries

[Academic Integrity Office](#)

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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## PREAMBLE

1. The main purpose of a university is to encourage and facilitate the pursuit of knowledge and scholarship. The attainment of this purpose requires the individual integrity of all members of the University community, including all graduate and undergraduate students. Scholars at McMaster demonstrate integrity in many ways, including the following:
  - Scholars practice intellectual honesty in the process of acquiring and extending knowledge. They do this by improving scholarly competence, and by exercising critical thinking and self-discipline.
  - Scholars show respect for and courtesy to others in free discussions on academic topics and recognize the right to free inquiry and opinion.
  - Scholars adhere to ethical requirements in their research.
  - Scholars acknowledge fully the work of others by providing appropriate references in papers, essays and the like and declaring the contributions of co-workers. Scholars do not take credit that is not earned.
  - Scholars strive to ensure that others are not put at a disadvantage in their pursuit of knowledge. They do not withhold material that should rightly be available to all.

The University states unequivocally that it demands scholarly integrity from all of its members. Academic dishonesty, in whatever form, is ultimately destructive to the values of the University; furthermore, it is unfair and discouraging to those students who pursue their studies honestly.

2. This Policy applies to all registered students, to students who have withdrawn or graduated if it is alleged that they committed academic dishonesty during the time they were registered students or in order to obtain admission or registration, and to students who have withdrawn from the University but who submit work for academic evaluation for the purpose of gaining readmission.

## RELATED POLICIES

3. This document is to be read in conjunction with the following University policies and statements:
  - a) **Research Integrity Policy**  
Cases of alleged research misconduct that involve funded research a student is doing outside of course work shall normally be governed by the procedures contained in the [Research Integrity Policy](#).
  - b) **Code of Student Rights and Responsibilities**  
The [Code of Student Rights and Responsibilities](#) governs the non-academic behaviour of students, whereas this Policy governs academic behaviour. In some instances, a student's behaviour may involve both academic and non-academic issues, in which case the student may, at the discretion of the instructor or administrator involved, be subject to the procedures of either or both policies.

## RESPONSIBILITIES

### All Members of the University Community

4. All members of the University community (students, faculty, instructors, staff and invigilators) have responsibility for the maintenance of an atmosphere of academic integrity in all phases of academic life, including research, teaching, learning and administration.
5. All members of the University have the responsibility to:
  - a) detect and report incidents of academic dishonesty, falsification of documents, etc.; and
  - b) provide assistance and co-operation in the prosecution of alleged offenders.

### Office of Academic Integrity

6. The purpose of this office is to assist instructors, students and staff with issues of academic integrity. Responsibilities include:
  - a) planning and coordinating academic integrity education and academic dishonesty prevention activities;
  - b) assisting with instructor education and developing programs concerning integrity issues by serving as a resource and providing educational materials;
  - c) providing advice to instructors, students, Faculties, the Office of the Registrar and so on with respect to individual case investigation, documentation and presentation;
  - d) providing procedural advice to and administrative support for Faculty Adjudicators in the hearing of academic dishonesty charges;
  - e) acting as a resource for Faculty Adjudicators with respect to sentencing practices and student history of dishonesty;
  - f) storing all documentation on academic dishonesty cases that take place at the instructor and Faculty levels and providing an annual written report to the University Senate on activities and dishonesty cases on behalf of all Faculties;
  - g) tracking complaints and making inquiries about suspected incidents of academic dishonesty that have not been pursued; and
  - h) recommending to Senate, from time to time, guidelines with respect to appropriate sanctions for certain offences, such guidelines to be affixed to this Policy as **Appendix 4**.

### Administration

7. The term "Administration", as used in this Policy, refers to individuals and entities responsible for the University's academic programs. They include: Department Chairs, Directors of Schools and Programs, Associate and Assistant Deans, Deans, the Vice-Provost, Teaching and Learning, the Deputy Provost, the Provost, and the Senate. Administrators are responsible for developing and updating policies and procedures related to maintaining the academic integrity of the University community. In addition, they

are responsible for providing resources so that members of the University are able to function with integrity in their academic pursuits. These resources may include:

- a) disseminating information about the expectations for academic integrity;
- b) developing, or assisting instructors to develop, guidelines to be used by instructors in preparing course outlines that clearly articulate expectations;
- c) providing testing environments, examination protocols (e.g., seating plans) and expectations for the review of examinations to make the opportunity for academic dishonesty more difficult; and
- d) providing the resources to support an Office of Academic Integrity.

#### **Office of the Registrar**

8. The Office of the Registrar is responsible for developing policies and procedures to detect misrepresentation of credentials during the admissions process and to maintain academic integrity during the writing of Registrar-administered examinations. For graduate students, the Graduate Registrar of the School of Graduate Studies has the same responsibilities regarding the admissions process.

#### **Faculty Adjudicators** (see also **Appendix 1**)

9. Faculty Adjudicators are responsible for adjudicating allegations of academic dishonesty, including making sure that the case is heard in a timely manner, the penalty is appropriate for the circumstances and in the light of previous precedents and practice, and the results are communicated to all the relevant parties.

#### **Instructors**

10. Instructors are responsible for using educational strategies that encourage students to behave honestly. These may include:
  - a) clearly articulating expectations about appropriate academic behavior at the beginning of the course;
  - b) developing course outlines that clearly set out expectations for referencing sources of information, for group work and so on;
  - c) using mechanisms during testing that reduce or eliminate the opportunities for copying, e.g., test facilities and randomized seating;
  - d) regularly producing new tests/examinations, especially for deferred examinations;
  - e) producing new assignments (such as laboratories and essay and report topics) on a regular basis to discourage copying from previous years' assignments; and
  - f) asking students to sign declarations that the work submitted is their own as a reminder of the necessity for academic integrity and the consequences of academic dishonesty.



### **Students (Undergraduate and Graduate)**

11. Students are responsible for being aware of and demonstrating behaviour that is honest and ethical in their academic work. Such behaviour includes:
  - a) following the expectations articulated by instructors for referencing sources of information and for group work;
  - b) asking for clarification of expectations as necessary;
  - c) identifying testing situations that may allow copying;
  - d) preventing their work from being used by others, e.g., protecting access to computer files; and
  - e) adhering to the principles of academic integrity when conducting and reporting research.
12. Students are responsible for their behaviour and may face penalties under this Policy, if they commit academic dishonesty.

### **Graduate Students**

13. Graduate students, having been deemed admissible to higher studies, are expected to be competent in the acknowledgement of other peoples' work, whether that work is in print or electronic media.
14. Graduate education concentrates on the formation of appropriate research skills and prepares students to undertake independent inquiry. All graduate students are responsible for familiarizing themselves with the definitions of research integrity and research misconduct in the University policies.

### **Committee on Academic Integrity**

15. The Committee on Academic Integrity is responsible for making recommendations to the Senate on policy and procedures relating to issues of academic integrity and on measures designed to reduce instances of academic dishonesty. Additionally, the committee reviews the annual report prepared by the Office of Academic Integrity prior to its presentation to the Senate.

### **ACADEMIC WORK**

16. Academic work includes any academic paper, term test, proficiency test, essay, thesis, research report, evaluation, project, assignment or examination, whether oral, in writing, in other media or otherwise and/or registration and participation in any course, program, seminar, workshop, conference or symposium offered by the University.<sup>1</sup>

For graduate students, comprehensive/qualifying exams, any research work relating to a course, and thesis work (a thesis proposal, or thesis draft, or draft of one or more chapters) also constitute academic work and must adhere to standards of academic integrity.

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<sup>1</sup> The University of Toronto has a similar definition of academic work which it has shared with McMaster University for use in this policy.

## ACADEMIC DISHONESTY

### Definition

17. Academic dishonesty is to knowingly act or fail to act in a way that results or could result in unearned academic credit or advantage.

Wherever in this Policy an offence is described as depending on “knowingly”, the offence is deemed to have been committed if the person ought reasonably to have known.

### ACADEMIC DISHONESTY OFFENCES

18. The following is a list of examples of academic dishonesty. It is not meant to be exhaustive. For fuller explanations of academic dishonesty, please refer to **Appendix 3**.

It shall be an offence knowingly to:

- a) plagiarize, i.e. submit academic work that has been, entirely or in part, copied from or written by another person without proper acknowledgement, or, for which previous credit has been obtained (see **Appendix 3**);
- b) submit the same academic work to more than one course (see **Appendix 3**);
- c) submit academic work for assessment that was purchased or acquired from another source;
- d) collaborate improperly on academic work (see **Appendix 3**);
- e) aid or abet another student’s academic dishonesty;
- f) possession or use of unauthorized aids (e.g., cheat sheets, cell phones, etc.) in tests, examinations or laboratory reports;
- g) procure, distribute or receive an examination, test or course materials that are in preparation or storage for an academic assessment;
- h) remove, without authorization, academic work (e.g. previous assignments or laboratories) submitted by other students to the instructor;
- i) alter a grade on academic work after it has been marked and using the altered materials to have the recorded grade changed;
- j) steal, destroy or tamper with another student’s academic work;
- k) prevent another student(s) from completing a task for academic assessment;
- l) fail to take reasonable precautions to protect academic work such as assignments, projects, laboratory reports or examinations from being used by other students;
- m) misrepresent academic credentials from other institutions or submit false information for the purpose of gaining admission or credits;
- n) submit false information or false medical documentation to gain a postponement or advantage for any academic work, e.g., a test or an examination;
- o) forge, alter or fabricate McMaster University documents;

- p) forge, alter or fabricate transcripts, letters of reference or other official documents;
- q) impersonate another student either in person or electronically for the purpose of academic assessment;
- r) provide a false signature for attendance at any class or assessment procedure or on any document related to the submission of material where the signature is used as proof of authenticity or participation in the academic assessment; and,
- s) commit research misconduct (see **Appendix 3**), which shall include:
  - i) the misrepresentation, fabrication or falsification of research data;
  - ii) the abuse of confidentiality with regard to information and ideas taken from manuscripts, grant applications or discussions held in confidence; and
  - iii) other kinds of misconduct, such as: the improper use of equipment, supplies, facilities, or other resources; the failure to respect University policies on the use of human subjects or animals.
- t) Contract Cheating is the act of “outsourcing of student work to third parties” (Lancaster & Clarke, 2016, p. 639) with or without payment.

#### **PROCEDURES IN CASES OF ACADEMIC DISHONESTY**

##### **The Person Responsible for Bringing a Charge (The University Representative as identified in clauses 19-21)**

19.

- a) The primary responsibility for bringing a charge of academic dishonesty involving academic work submitted for credit in a course rests with the instructor of the course. A course instructor may designate this authority to an appropriate member of the course teaching team.

Examples:

- i) In the case of a take-home assignment (paper, essay, book review, etc.) the marker must bring the suspicion of academic dishonesty to the attention of the instructor.
  - ii) In an in-class test or examination, the invigilator must bring the suspicion of academic dishonesty to the attention of the instructor.
  - iii) In a University-administered examination, the invigilator must report his or her suspicion that academic dishonesty may have occurred to the Chief Presider. The Chief Presider shall give a full report, together with any confiscated material, to the Associate Registrar (Examinations and Schedules), who shall report the matter to the instructor.
- b) The primary responsibility for bringing a charge against a graduate student suspected of academic dishonesty in a Master's project, thesis work or a thesis rests with the student's supervisor.
  - c) The primary responsibility for bringing a charge against a graduate student suspected of academic dishonesty in a comprehensive examination rests with the member(s) of the examining committee who detect(s) it.

- d) The primary responsibility for bringing a charge against a graduate student suspected of research misconduct (as defined in the [Research Integrity Policy](#)) not included in any of the previous categories rests with the student's supervisor.
  - e) The primary responsibility for bringing a charge against a student suspected of falsifying and/or using falsified documents (e.g. transcripts, letters of reference, medical documentation) rests with the appropriate University Officer (e.g., the Registrar, the Graduate Registrar, an Associate Dean, etc.).
  - f) The primary responsibility for bringing a charge against a student suspected of academic dishonesty, of a nature that does not clearly fall within the preceding clauses, shall rest with the appropriate instructor or University Officer. For example, if a student steals and/or is found to be in possession of stolen examination copy, the primary responsibility rests with the instructor responsible for the course.
20. When the person who bears the primary responsibility fails to bring a charge within a reasonable time, the Department Chair or School/Program Director may bring a charge. If the Chair or Director does not bring a charge within a reasonable time, then the appropriate Associate Dean (as identified by the Office of Academic Integrity) may do so.
21. Any person who believes that a student has committed academic dishonesty, including research misconduct, may submit a signed statement, including all relevant evidence, to the appropriate Associate Dean (as identified by the Office of Academic Integrity). The Associate Dean will conduct an investigation and, if appropriate, bring a charge.

#### **Contacting the Student**

22. The University Representative shall:
- a) notify the student of the nature of the charge of academic dishonesty, the evidence against him/her, and the procedures to be followed;
  - b) provide the student a fair opportunity to answer the charge within two weeks after contacting the student; and
  - c) if the charge relates to a course in which the student is registered, inform the student, the Registrar, and the student's Associate Dean that, while under investigation for academic dishonesty, the student shall not be permitted to withdraw from the course concerned (see clause 39).

#### **Determining that an Offence has been Committed**

23. The University Representative shall determine, based on their discussion with the student and a review of all relevant evidence, whether an offence has been committed.
24. When the University Representative determines that there are no grounds for a charge or there is insufficient evidence with which to proceed, they shall so inform the student in writing (with a copy to the Registrar and the student's Associate Dean, if they were informed under the terms of clause 22 (c) within 10 working days of their meeting with the student. This does not preclude a University Representative from bringing a charge at a later date, should new evidence become available.

#### **Checking for Previous Offences**

25. When the University Representative determines that an offence has taken place, and before deciding on a penalty, they shall check with the Office of Academic Integrity to determine if it is a first offence.

#### **Instructor-Imposed Penalties for First Offences**

26. In the case of undergraduate students, if there is no previous offence on record and none of the conditions in clause 27 apply, an instructor can impose penalties of:
- a) a reduction of the mark on the piece of academic work; or
  - b) a mark of zero for the piece of academic work; or
  - c) if the piece of academic work is worth less than 5% of the course grade, a course grade reduction of up to 5%.

The instructor shall notify the student, in writing, of the penalty and of the student's right of appeal to the Faculty Adjudicator (through the Office of Academic Integrity) generally within 20 working days after the instructor first contacts the student with a suspicion of academic dishonesty. The instructor shall also report the penalty, and a brief description of the case, to the Office of Academic Integrity and the student's Associate Dean. A penalty levied by an instructor takes place immediately and shall not be stayed by an appeal.

For graduate students, see clause 27 below.

#### **Referral of First Offences**

27. The University Representative also shall refer a case to the Office of Academic Integrity, if:
- a) they believe a penalty greater than zero for the piece of work concerned is warranted;
  - b) there are multiple charges against the student;
  - c) the student is a **graduate student**; and/or
  - d) the alleged offence does not relate to the work in a course (e.g., presentation of falsified documents).

When a University Representative refers a case to the Office of Academic Integrity, they shall inform the student, the student's Associate Dean and the Registrar.

The Office of Academic Integrity will inform the appropriate Faculty Adjudicator<sup>2</sup> and commence the procedures described in clauses 29 to 38 below.

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<sup>2</sup> Unless otherwise specified, the appropriate Faculty Adjudicator shall be:

- a) in cases involving academic work submitted for credit in a course by an undergraduate student, the Faculty Adjudicator for the Faculty that received the academic work for assessment,
- b) in all other cases involving undergraduate students, the Faculty Adjudicator of the Faculty in which the student was last registered,
- c) for courses in interdisciplinary units or for students registered in programs that are not under the jurisdiction of a Faculty, a Faculty Adjudicator assigned by the Office of Academic Integrity, and
- d) in all cases involving graduate students, the Faculty Adjudicator for the School of Graduate Studies.

### **Referral of Second or Subsequent Offences**

28. If there is a previous offence on record, the University Representative shall refer the case to the Office of Academic Integrity and so inform the student, the student's Associate Dean and the Registrar. The Office of Academic Integrity will inform the appropriate Faculty Adjudicator<sup>2</sup> and commence the procedures described in clauses 29 to 38 below.

### **Adjudication Without a Hearing**

29. If the student charged with academic dishonesty admits guilt and the University representative, the student and the Faculty Adjudicator are all in agreement that a Hearing is not required to determine the penalty, the Faculty Adjudicator may make a decision regarding the penalty based on the written submissions of the complainant and the student.

### **Hearing by Faculty Adjudicator**

30. In other cases referred to the Faculty Adjudicator, a Hearing shall be held in accordance with the procedures set out in **Appendix 2**. The Hearing shall normally be held no later than one month after the date the Office of Academic Integrity receives the case. At the Hearing, it shall be the responsibility of the University Representative to provide evidence to the Faculty Adjudicator that the student committed academic dishonesty. Decisions of the Faculty Adjudicator with respect to the student's guilt or innocence shall be based on a preponderance of evidence, meaning the evidence shows it is more likely than not that the student committed academic dishonesty.
31. Only after the Faculty Adjudicator has determined that academic dishonesty has been committed, and before deciding on a penalty, they shall inquire of the Office of Academic Integrity whether there is a record of a previous offence in the student's file.
32. If the Hearing is for an appeal by a student of the decision of an instructor that the student committed academic dishonesty and/or of the penalty imposed by the instructor, it shall be the responsibility of the instructor to provide evidence of the student's guilt and of the appropriateness of the penalty.
33. The Faculty Adjudicator may take the following action:
- a) dismiss the case, or
  - b) make a finding of academic dishonesty and impose one or more penalties as described in clause 34 below.

### **Penalties**

34. The following penalties may be imposed by the Faculty Adjudicator upon any student found to have committed academic dishonesty. Repeated and/or multiple violations will increase the severity of the penalty. Academic dishonesty committed by graduate students will have more serious consequences than that committed by undergraduate students. When there is a finding of academic dishonesty relating to a course, the student shall not be permitted to withdraw from the course in question. Penalties may be used independently or in combination for any single violation.

35. Penalties include:
- a) a letter reporting the academic dishonesty offence, sent to the student and copied to the Office of Academic Integrity, the student's Associate Dean, the Registrar and/or the Graduate Registrar;
  - b) a reduction of the mark on the piece(s) of academic work;
  - c) a mark of zero for the piece(s) of academic work;
  - d) a reduction of the course grade;
  - e) zero for the course with a transcript notation as provided in clause 47;
  - f) denial of permission to use facilities of the University, including computer facilities and laboratories, for a designated period of time;
  - g) denial of permission to register;
  - h) cancellation of registration;
  - i) suspension, i.e., the withdrawal by the University of all academic privileges for a specified period of time, after which the student is eligible to return;
  - j) expulsion, i.e., the withdrawal by the University of all academic privileges for an indefinite period of time;
  - k) a recommendation to Senate to rescind the student's degree;
  - l) a transcript notation as provided in clause 46; and
  - m) such other penalties as may be appropriate in the circumstances.

For **graduate students** all of the above penalties may be assessed in addition to:

- n) a letter reporting the academic dishonesty offence to be placed in the student's academic file at the School of Graduate Studies and in the student's program/department file; and
- o) a recommendation that the supervisory committee meet to assess the progress of the student and consider assigning a grade of unsatisfactory. An executive summary of the Faculty Adjudicator's decision will be released by the Office of Academic Integrity to the committee.

Suspension and expulsion entail transcript notations as described in clauses 48 and 49. Prohibiting a student from registering for a specified period of time does not entail a transcript notation.

#### **Notification of Decision**

36. The Faculty Adjudicator shall, within ten working days of the hearing, inform the student, the instructor, the University Representative (if other than the instructor), the Office of Academic Integrity, the Registrar, and the student's Associate Dean, in writing, of the decision/recommendation in each case.
37. When the Faculty Adjudicator decides that a student's degree should be rescinded, they shall forward that recommendation to Senate for approval, and the Secretary of the Senate shall inform the individuals listed in the previous clause of the Senate's decision.

38. When a student is found guilty of academic dishonesty and a penalty is levied by the Faculty Adjudicator and/or the Senate, the student shall also be informed of his or her right of appeal to the Senate Board for Student Appeals.
39. A penalty takes effect when specified by the Faculty Adjudicator and shall not be stayed by an appeal.

#### **Student's Status: Transcripts and Registration**

40.
  - a) When a charge of academic dishonesty is made against a student, until the case has been resolved, the student will not be issued transcripts directly but, at the student's request, transcripts will be sent to institutions or potential employers. If the student is subsequently found guilty and the conviction results in a transcript notation, the recipients of any transcripts will be so informed by the Registrar.
  - b) While under investigation for, or subsequent to being found guilty of, academic dishonesty in a course(s), a student shall not be permitted to withdraw formally from that course(s).
  - c) While under investigation for academic dishonesty, a student shall not be permitted to withdraw formally from the University.

#### **Right of Appeal**

41. A decision and/or a penalty imposed under the above procedures may be appealed within three weeks after the student has been advised of the decision and/or penalty as follows:
  - a) Decisions of the instructor may be appealed to the Faculty Adjudicator, by submitting a request in writing to the Office of Academic Integrity on a form prescribed by that Office.
  - b) Decisions of a Faculty Adjudicator or of the Senate, (pursuant to clauses 36 and 37), may be appealed by the student to the Senate Board for Student Appeals.

#### **Records of the Offence**

42. The Office of Academic Integrity shall maintain a record of each finding of academic dishonesty against a student. This record will be retained for a period of ten years before being destroyed. The purpose of this record, which shall be kept separate from any other of the student's records, is to determine whether there has been a previous offence, before a penalty is levied. Such a record of offences shall not be used for any other purpose.
43. When the penalty does not involve a transcript notation, the student may petition the Office of Academic Integrity to destroy the record of the offence. Such a petition cannot be made for a period of two years subsequent to the date on which the student was charged. If the petition is granted, the record shall not, however, be destroyed before the student is clear to graduate.
44. When a penalty includes a letter being placed in a graduate student's academic files, the student may petition the Office of Academic Integrity to have the letters destroyed. Such a petition cannot be made for a period of two years subsequent to the date on which the student was charged. If the petition is granted, the record shall not, however, be destroyed before the student is clear to graduate.



45. When the penalty does involve a transcript notation, and the student's petition to delete the transcript notation has been granted by the Senate, the record of the offence shall be destroyed by the Office of Academic Integrity when the transcript notation is deleted (see clauses 47, 48 and 49 below).
46. In the event that the case is dismissed, all records of the proceeding shall be removed from the student's file.

### Transcript Notations

47. General Notation

(for notations not associated with a grade of "F", suspension, expulsion or rescinded degrees).

When a Faculty Adjudicator determines a student is guilty of an academic dishonesty offence under the Policy that does not warrant a grade of "F", suspension, expulsion or a rescinded degree they can assign a general notation that reads "Student found guilty of Academic Dishonesty on (list date here). This notation will be automatically removed on (insert date here)."

No petition to Senate is required for removal of this General Notation. Such notations cannot be permanent and must include a removal date and year.

48. When a grade of "F" in a course has been levied against a student found guilty of academic dishonesty, the notation "Grade of F assigned for academic dishonesty" shall appear on the student's transcript opposite the course. Provided there are no subsequent findings against the student, the notation will be removed, and the record of the offence destroyed, upon the shorter of:
  - 1) five years\* after the effective date of the penalty; **or**
  - 2) two years\* after graduation.

The Academic Integrity Officer will provide to the University Registrar, by the end of each term a list of notations to be removed. \*Notations will be removed on either April 30, August 31, or December 31 following completion of the relevant time period noted above. The number of notations removed each year under this process must be included in the annual report to the University Senate referred to in clause 6.f of the *Academic Integrity Policy*.

49. When a student is suspended, the notation will read: "Suspended by the Senate for academic dishonesty for \_\_\_ months effective (date suspension starts)." A student may petition Senate for removal of such a notation subject to the following conditions:
  - a) If the student returned to McMaster University:
    - 1) at least 2 years must have elapsed since the effective date of the suspension; **and**
    - 2) the student must have been cleared to graduate.
  - b) If the student did not resume studies at McMaster University:
    - 1) at least 5 years must have elapsed since the effective date of the suspension.

50. When a student is expelled, the notation will read: "Expelled by the Senate for academic dishonesty (effective date)".

If at some later date the student is reinstated, an additional notation will read: "Reinstated by the Senate (effective date)".

Such notations may be removed from a student's transcript on petition to Senate, but not before five years after the effective date of the expulsion.

51. When a student's degree is rescinded, the notation will read: "Degree rescinded by the Senate for academic dishonesty (effective date)". Such notations are permanent.

**APPENDIX 1: FACULTY ADJUDICATORS****Guidelines for Selection and Operation**

1. The Provost, in consultation with the Faculty Deans and the Dean of Graduate Studies, shall make recommendations regarding the appointment of adjudicators to the Senate Committee on Appointments. Adjudicators shall be appointed by Senate for a renewable three-year term, to a maximum of two terms. A Faculty and the School of Graduate Studies may choose to have more than one Faculty Adjudicator, but no more than three should be appointed within a Faculty or the School of Graduate Studies.
2.
  - a) If a Faculty Adjudicator is not available to hear a case within a reasonable time, the Office of Academic Integrity may refer the case to another adjudicator in the same or a different Faculty.
  - b) Cases involving graduate students shall be adjudicated by the Faculty Adjudicator(s) appointed for the School of Graduate Studies.
  - c) The Office of Academic Integrity shall ensure that all Faculty Adjudicators receive appropriate training to discharge their responsibilities.
  - d) In the event that a Faculty Adjudicator has any direct interest or prior involvement in a case under consideration, another Faculty Adjudicator from the same or a different Faculty shall be appointed to hear the case.
  - e) The Faculty Adjudicator, should they wish to make recommendations regarding modifications to the policies and procedures under which they operate, shall report in writing to the Office of Academic Integrity by October 31<sup>st</sup> of each year.”

**APPENDIX 2: PROCEDURAL RULES FOR A HEARING**

All Hearings convened under this Policy shall be held by video conference and will follow the procedures detailed below. In-person hearings are available on request.

**Parties to a Hearing**

1. Parties to a Hearing shall include the University Representative, and the student against whom the allegation of academic dishonesty has been made or who is appealing an instructor's decision that they committed academic dishonesty and/or the instructor's penalty.

**Notice of Hearing**

2. The Parties shall be given reasonable, written notice of the hearing. In the case of the student, the notice shall be sent by email to the student's McMaster email address. This email is considered received if sent via the student's @mcmaster.ca account.

**Closed/Open Hearings**

3. Hearings are normally open, but any Party to the proceeding may request a closed Hearing.
4. The Faculty Adjudicator shall determine in their sole discretion whether sufficient cause for closing exists. In the event that there is insufficient cause, the Hearing shall remain open.

**Scheduling of Hearing**

5. An attempt shall be made to schedule the video conference Hearing at a time convenient for all Parties. However, if a Party, who has been notified of a Hearing date, is absent without contacting the Office of Academic Integrity with a satisfactory explanation, the Hearing may proceed in their absence.

**Advisor**

6. The student shall have the right to have an advisor in attendance at the Hearing. Such advisor may consult with the student but shall not be allowed to speak at the Hearing. Advisors shall not include legal counsel for the purposes of these Hearings.

**Evidence**

7. The student is entitled to receive, prior to the Hearing, reasonable particulars in writing of the allegation(s) against him/her.
8. Parties have the right to submit written and documentary evidence electronically in support of their cases, prior to the Hearing, and to receive electronic copies of any such evidence submitted by the other Party. All written and documentary evidence is to be provided to the opposing party not less than five days prior to the hearing.

9. Parties have the right to present evidence at the Hearing, including their own testimony and any further written and documentary evidence in support of their cases and to receive electronic copies of any such evidence submitted by the other Party.
10. The Faculty Adjudicator may consider and grant a recess or an adjournment at the request of either party to allow them to review written or documentary evidence submitted electronically at the Hearing.
11. The Faculty Adjudicator may require the production of written or documentary evidence by the Parties or by other sources. The Faculty Adjudicator has the power to call their own witnesses.
12. The Faculty Adjudicator must not hear evidence or receive representations regarding the substance of the case other than through the procedures described in this Policy.
13. The Faculty Adjudicator may admit as evidence at a Hearing any oral testimony and any document, written statement or other thing, relevant to the subject matter of the proceeding. The Faculty Adjudicator is not bound by the laws of evidence applicable to judicial proceedings.

#### **Witnesses**

14. Parties to the Hearing have the right to call, question and cross-examine witnesses. Parties are responsible for producing their own witnesses and paying for any costs associated with their appearance.
15. The Faculty Adjudicator may limit testimony and the questioning of witnesses where they are satisfied that the testimony and questioning has been sufficient to disclose fully and fairly all matters relevant to those matters they consider relevant to the disposition of the case.
16. The witnesses will stay in the Hearing only while they are testifying and responding to questions.

#### **Similar Questions of Fact or Policy**

17. If two or more proceedings before Faculty Adjudicator(s) involve the same or similar questions of fact or policy the Faculty Adjudicator(s) may:
  - a) combine the proceedings or any part of them,
  - b) hear the proceedings at the same time, or
  - c) hear the proceedings one immediately after the other.

#### **Recording**

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

#### **Order of Proceedings**

19. The order of the proceedings shall be as follows:
- a) The University Representative shall present the charge, any supporting evidence and shall call any witnesses. The student and the Faculty Adjudicator shall be permitted to question each witness at the end of their testimony. The University Representative shall be permitted to clarify any new points arising from such questioning.
  - b) The student shall present their evidence and shall call any witnesses. The University Representative and the Faculty Adjudicator shall be permitted to question each witness at the end of their testimony. The student shall be permitted to clarify any new points arising from such questioning.
  - c) The University Representative may respond to any evidence presented by the student in (b) above.
  - d) The Parties will be permitted an opportunity to summarize their respective cases. The summary should address both the substance of the alleged offence and the appropriate penalty in the event that the allegation is determined to be valid. The student, if he or she wishes, may submit their penalty suggestions in writing to be read by the Faculty Adjudicator when deciding an appropriate penalty after concluding the allegation is valid.

#### **Adjournment**

20. The Faculty Adjudicator may grant an adjournment at any time during the Hearing to ensure a fair Hearing.

#### **Appropriate Procedures**

21. Where any procedural matter is not dealt with specifically in this Policy, the Faculty Adjudicator may, after hearing submissions from the Parties and considering the principles of fairness, establish an appropriate procedure.
22. Any procedural requirement contained in this Policy may be waived with the consent of the Faculty Adjudicator and of all Parties.

**APPENDIX 3: ACADEMIC DISHONESTY EXPLANATIONS****Explanation**

1. Academic dishonesty may occur in a variety of situations. This Appendix includes many examples but is not an exhaustive list of examples of academic dishonesty.

**Plagiarism**

2. Plagiarism, which is the submission of material that has been, entirely or in part, copied from or written by another person, without proper acknowledgment, is probably the most common form of academic dishonesty. All material, including information from the internet, anonymous material, copyrighted material, published and unpublished material and material used with permission, must be properly acknowledged. There are two aspects to using material from other sources of which students should be aware. In a direct quotation of text or material, it is important to distinguish the text or material that has been taken from the other source. Common methods of identification of directly quoted material include indentation, italics, quotation marks or some other formatting change to separate the quoted material from the student's own work. Indirectly quoted material involves expressing an idea, concept or interpretation that one has obtained from another source, in one's own words. Direct and indirectly quoted material requires a reference or footnote in the text and full citation in the references or bibliography, in accordance with the standards appropriate to the discipline.

**Oral Presentations**

3. In the case of oral presentations, the use of material that is not one's own, without proper acknowledgment or attribution, constitutes plagiarism and, hence, academic dishonesty.

**Music**

4. In Music, the imitation of style is an integral part of the student's work. In applied music, for example, a student may be required to model an interpretation of a piece around that of a particular performer, and in music theory courses it is a routine procedure to imitate the stylistic characteristics of particular periods and even of particular composers. Nevertheless, it is possible to draw certain lines. For example, it would obviously be improper for a student to submit as personally representative, a tape recording of someone else performing. It would also be wrong, just as it would be in the case of an essay, for a theory or composition student to hand in as personal work, material composed by another. Clearly, the imitation of style ceases to be legitimate when the student begins to draw upon actual notes or sounds attributable to another person. This would not preclude a professor from, say, giving the student material to work with from a pre-existent composition (for example, a figured bass, or a fugue subject) providing the sum and substance of the work from that point on were the student's own.

**Studio Art**

5. Students of studio art (painting, sculpture and print-making) may be guilty of plagiarism if they submit for evaluation as course assignments works executed in their entirety by someone else, or in part by someone other than the instructor. Similarly, copying works from sources not authorized by the instructor

may be regarded as improper borrowing, which is analogous to plagiarism and is an act of academic dishonesty.

### **Computer Software**

6. The improper use of the computer files and programs of others may constitute academic dishonesty. The instructor who is responsible for specifying the way in which the work is to be done determines the degree of permissible co-operation among students. Students who allow their computer files or assignments to be copied are as guilty of academic dishonesty as those who copy. Each student is responsible for protecting his or her computer file by keeping the password secret and changing it frequently.

### **Multiple Submissions of the Same Material**

7. The submission of an assignment, report or essay, which has been submitted at an earlier date for a different course, is an act of academic dishonesty unless the instructor has specifically authorized it in advance. The submission of the same essay in each of two courses, which are being taken concurrently, is acceptable only if both instructors have given prior approval.

### **In Tests and Examinations**

8. In all tests and examinations, including take-home examinations, students are expected to work strictly on their own, using only aids authorized for use in the examination or test area by instructors or invigilators, or when group work has been explicitly authorized by the instructor. Copying or using unauthorized aids constitutes academic dishonesty.

### **Inappropriate Collaboration**

9. Collaborative learning is a valuable method of instruction that is utilized by many instructors at McMaster University. Students will often be encouraged to discuss ideas and concepts with one another to facilitate the learning process. A distinction must be drawn, however, between collaborative learning and collaboration on assignments. Assignments, projects, reports, etc. are required to be completed by an individual unless the instructor indicates some kind of collaboration is permissible.
10. Inappropriate collaboration occurs when students work together on an assignment that was intended as an individual assignment or when students work together in groups beyond the degree of permissible collaboration.
11. Instructors are expected to outline the appropriate level of collaboration on course outlines and/or on each assignment. When group work is acceptable, but not required, the instructor is responsible for specifying the way in which the work is to be done and for determining the degree of permissible collaboration among the students.
12. Students are directed to assume all assignments are intended to be done individually unless otherwise directed by the instructor. Students are expected to ask questions and clarify the collaboration expectations for each assignment if they are unsure of the instructor's expectations. Students are also



expected to use standard citation rules to identify any part or section of their assignment that is not original.

### Research Misconduct

13. The two principles underlying integrity in research in a University setting are these: a researcher must be honest in proposing, seeking support for, conducting, and reporting research; a researcher must respect the rights of others in these activities. Any departure from these principles will diminish the aegis of McMaster University. It is incumbent upon all members of the University community to practice and to promote ethical behaviour. (Please refer to the *Research Integrity Policy* for more details.)

### Contract Cheating

14. Contract cheating can happen through “family and friends; academic custom writing sites; legitimate learning sites (eg. file sharing, discussion and micro-tutoring sites); legitimate non-learning sites (e.g., freelancing sites and online auction sites); paid exam takers; and pre-written essay banks”(Ellis Zucker, & Randall, 2018, p. 2).

The act of contract cheating, and its associated behaviors: undermines learning; erodes learning environments; damages learning relationships; places the student, the faculty/teacher, the educational organization, and society at risk from students who will graduate with knowledge gaps; undeserved academic awards; and a propensity to engage in dishonesty behaviors in their professional careers (Guerrero-Dib, Portales, & Heredia-Escorza, 2020; Harding, Carpenter, Finelli & Passow, 2004; Lancaster, 2020).” Used with permission from the [International Centre for Academic Integrity](#)

### Generative Artificial Intelligence

15. Generative AI tools are advanced language models that utilize deep learning algorithms to produce human-like text based on given prompts. There are also generative artificial intelligence tools that produce code, images, videos, presentations, and audio.

Instructors must be clear in their assignment directive as to whether they are (1) explicitly prohibiting use or (2) setting specific parameters around the permitted use of generative artificial intelligence tools.

Students are directed to assume all assignments and tests are intended to be done without the use of generative artificial intelligence unless otherwise directed by the instructor. Students are expected to ask questions and clarify if they are unsure of the instructor’s expectations. If permitted to use generative artificial intelligence tools in an assessment, it is expected they will use standard citation rules to identify any part or section for their assignment that is not their original thought or work.

**APPENDIX 4: GENERAL PENALTY GUIDELINES****Explanation**

1. Each case of academic dishonesty is investigated, heard and decided upon the merits of the case. The following penalty guidelines are general and can be adjusted by the Faculty Adjudicator hearing the case, according to the merits of the case to be harsher or more lenient.

**Admissions Fraud**

2. If a student is found to have gained admission to McMaster University through fraudulent means, the penalty is generally suspension or expulsion with a transcript notation.

**Undergraduate Students**

3. The first time an undergraduate student is found guilty of academic dishonesty, the penalty is generally either a letter or a grade reduction or a zero on the assignment in question, but is most often a zero.
4. The second time an undergraduate student is found guilty of academic dishonesty, the penalty is generally "F" in the course with a transcript notation.
5. The third time an undergraduate student is found guilty of academic dishonesty, the penalty is generally "F" in the course with a transcript notation and suspension or expulsion with a transcript notation.

**Undergraduate Serious First Offences**

6. If a student is found to have committed a serious first offence, the penalty is at the discretion of the Faculty Adjudicator and will be determined based on the merits of the case.

**Graduate Students**Course Work

7. The first time a graduate student is found guilty of academic dishonesty or research misconduct in course work, the penalty is generally assigned within the parameters of the course, e.g., a zero on the assignment or "F" in the course with a transcript notation.
8. The second time a graduate student is found guilty of academic dishonesty or research misconduct in course work, the penalty is generally suspension or expulsion with a transcript notation.

Comprehensive/Qualifying Examinations

9. If a graduate student is found to have committed academic dishonesty on a draft of a comprehensive/qualifying exam or on a comprehensive/qualifying exam, the penalty can range from a letter in the student's academic files to a failing grade on the exam to suspension or expulsion.

Thesis Work

10. If a graduate student is found to have committed academic dishonesty on thesis work the penalty can range from a letter in the student's academic files to an Unsatisfactory on the relevant supervisory committee meeting report to suspension with a transcript notation or expulsion with a transcript notation depending on the severity of the offence.

Thesis

11. If a graduate student is found to have committed academic dishonesty on a thesis submitted for defense the penalty is generally suspension with a transcript notation or expulsion with a transcript notation.\*

*\* If the graduate student has a previous offence of academic dishonesty on their record, it will be considered as part of determining the appropriate penalty.*

**Consequences**

12. Many penalties assigned for academic dishonesty will have academic consequences for students, e.g. a zero on an assignment combined with the student's other grades in course work results in an "F" in the course; an "F" in a course when combined with the student's other grades may result in the student being put on academic probation, etc. These consequences will not be considered when deciding a penalty for academic dishonesty; the penalty is decided based on the merits of the case.



# 2021 – 2022 Annual Report Office of Academic Integrity

**BRIGHTER WORLD**



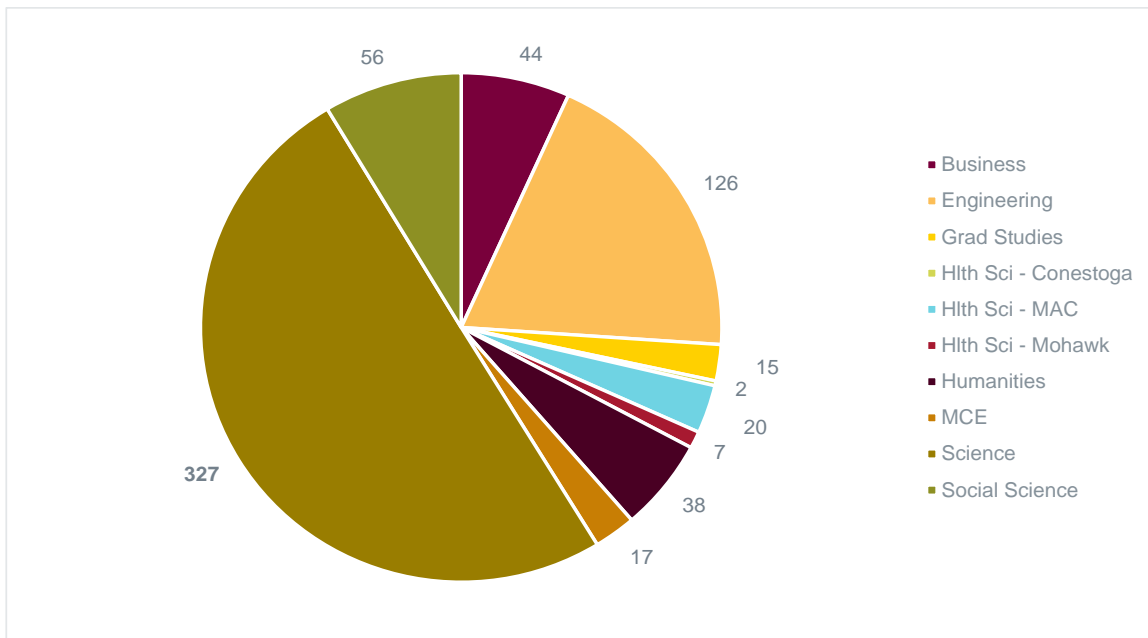
## Case Summary

TOTAL NUMBER OF CASES	652
TOTAL NUMBER OF STUDENTS	627
NUMBER OF STUDENTS INVOLVED IN MORE THEN ONE CASE	25
NUMBER OF CASES RESULTING IN A FINDING OF GUILT	648
NUMBER OF CASES RESULTING IN A FINDING OF INNOCENCE	4

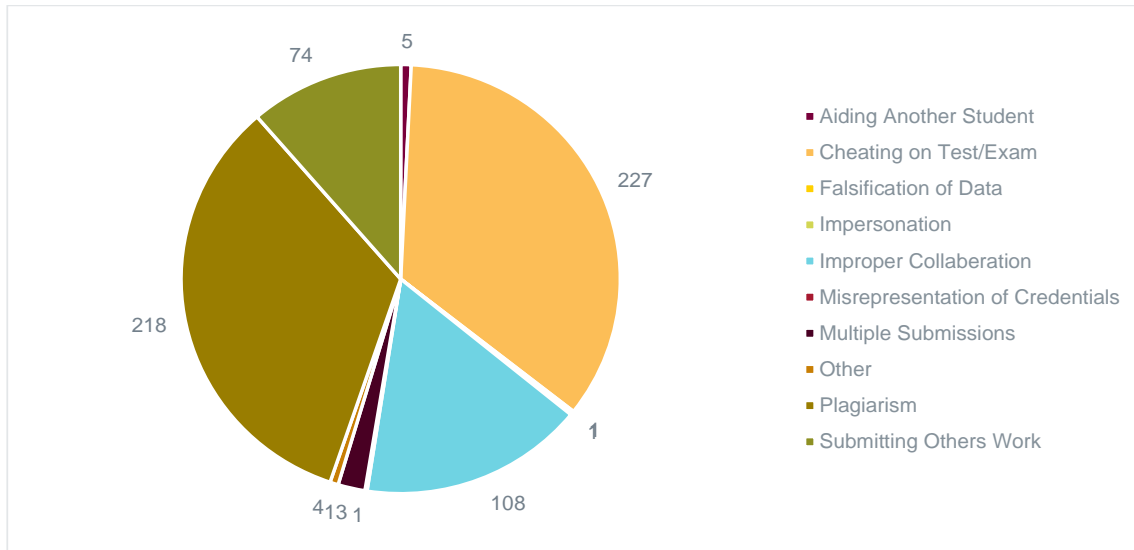
## Cases by Registration Status

UNDERGRADUATE	620
GRADUATE	15
MCE	17

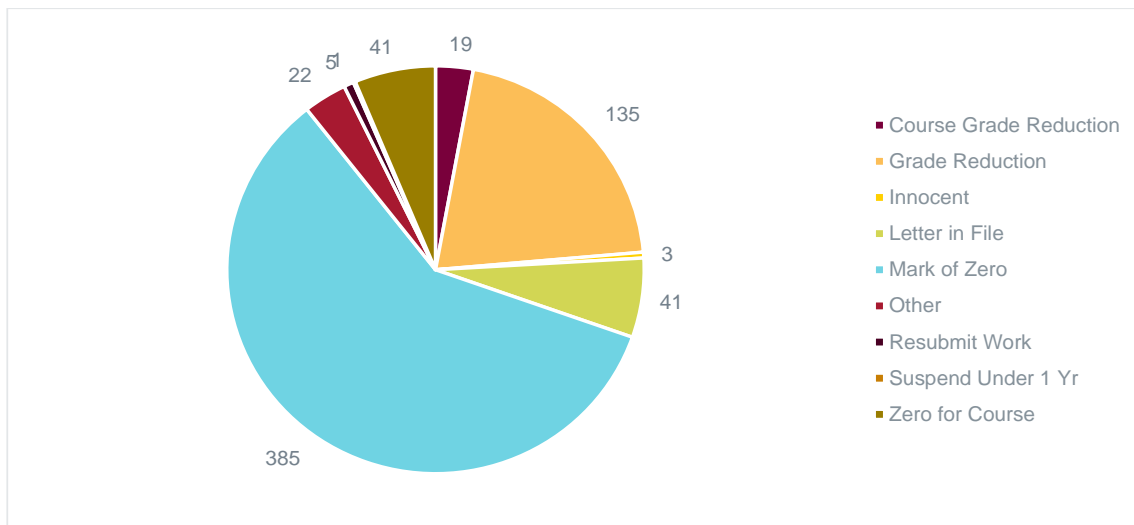
## Cases by Student Faculty



## Type of Offence



## Penalties



### CHARGES BY FACULTY THE STUDENT IS REGISTERED IN 2003- 2021

Year	A/Sci	Bus	Eng	H. Sci	Hum	Sci	Soc/Sci	Grad	MCE	Totals	Full-Time Enrollment
03/04	1	11	51	24	25	44	78	14	2	250	18,283
04/05	0	34	52	42	19	47	57	9	1	261	19,164
05/06	0	53	121	36	32	49	60	11	0	362	20,439
06/07	2	25	199	47	25	45	74	23	1	441	21,107
07/08	3	50	59	139	36	41	77	7	5	417	21,696
08/09	0	67	38	14	28	71	99	28	5	350	22,343
09/10	2	15	64	21	27	55	49	7	4	244	23,325
10/11	3	37	69	11	41	63	77	7	6	314	23,557
11/12	4	35	121	11	35	95	72	26	11	410	24,070
12/13	0	3	47	19	50	89	41	3	15	267	25,456
13/14	2	17	152	12	36	69	58	8	9	363	24,689
14/15	0	31	110	12	47	38	36	8	7	289	24,960
15/16	4	18	95	23	57	91	81	6	0	375	27,903
16/17	2	19	89	22	38	47	95	9	0	321	29,262
17/18	2	16	150	5	35	37	111	45	1	402	29,919
18/19	1	18	33	23	25	137	26	13	7	283	31,252
19/20	0	35	72	20	22	286	38	7	11	491	34,230
20/21	1	50	174	23	36	463	101	2	8	858	36,400
21/22	0	44	126	29	38	327	56	15	17	652	37,301

\*Number show is full-time headcount minus Divinity College, which had a fulltime headcount of 68. The University's Fall 2021 full-time headcount is 37,369.

## FACULTY ADJUDICATOR WORK

### HEARINGS WITH A FACULTY ADJUDICATOR

TOTAL NUMBER OF HEARINGS	91
<u>Appeal Hearings</u>	35
Denied	4
Penalty Modified	27
Granted	4

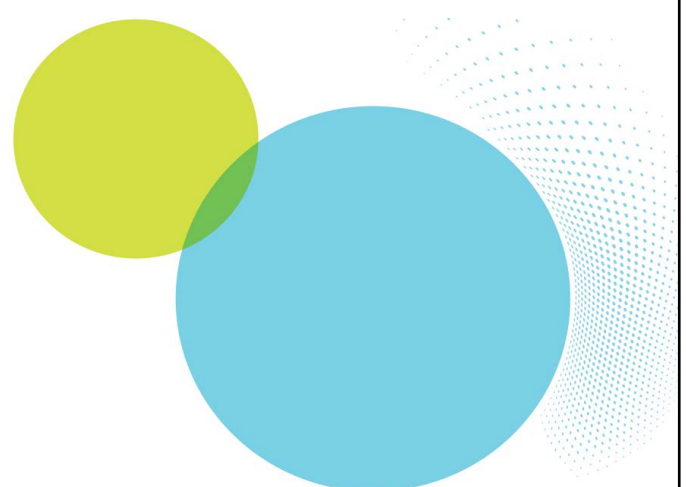
### APPEALED CASES TO SENATE BOARD FOR STUDENT APPEALS

Total number of cases:	2
Withdrawn	0
Hearings Scheduled	2

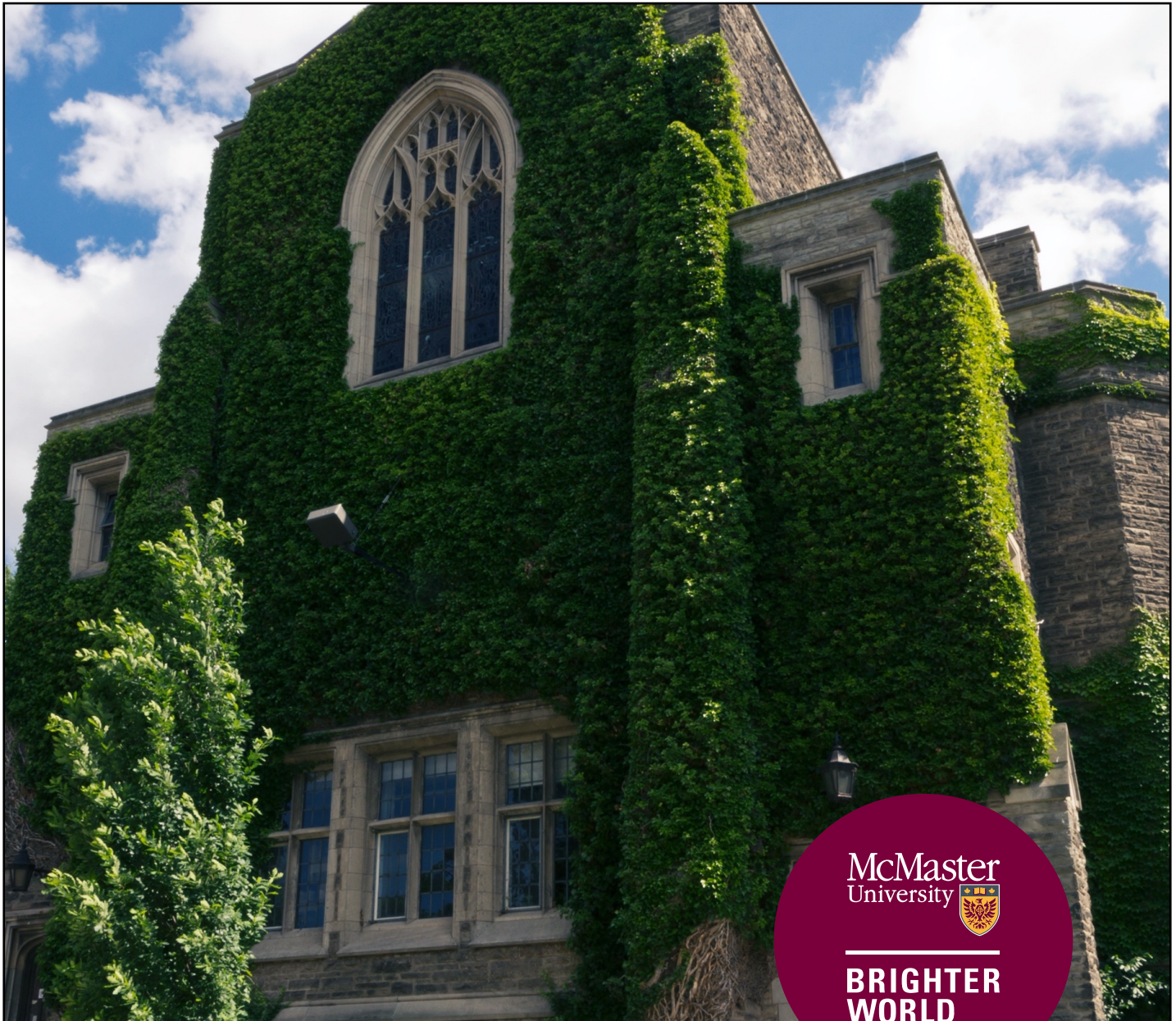
<u>Decided</u>	
Denied	1
Summary dismissal	1
Dismissed / Abandoned	0
Penalty Modified	0
Granted	0

### F IN THE COURSE WITH A NOTATION REMOVALS

Total number notations removed: 24





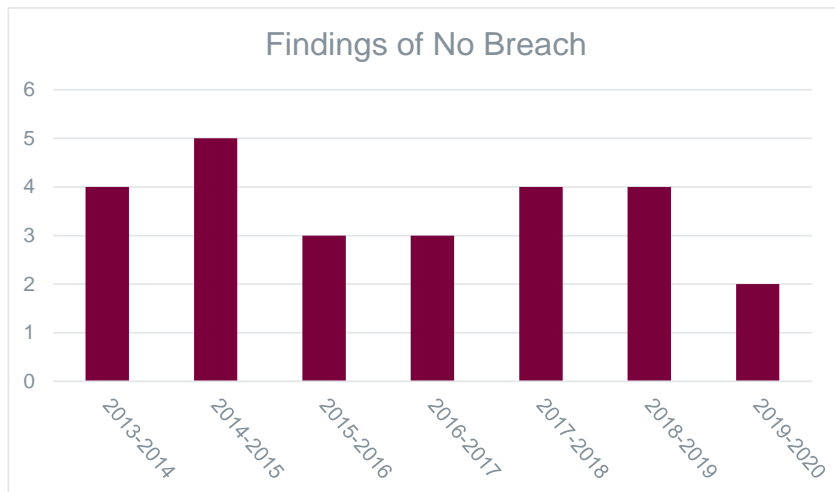
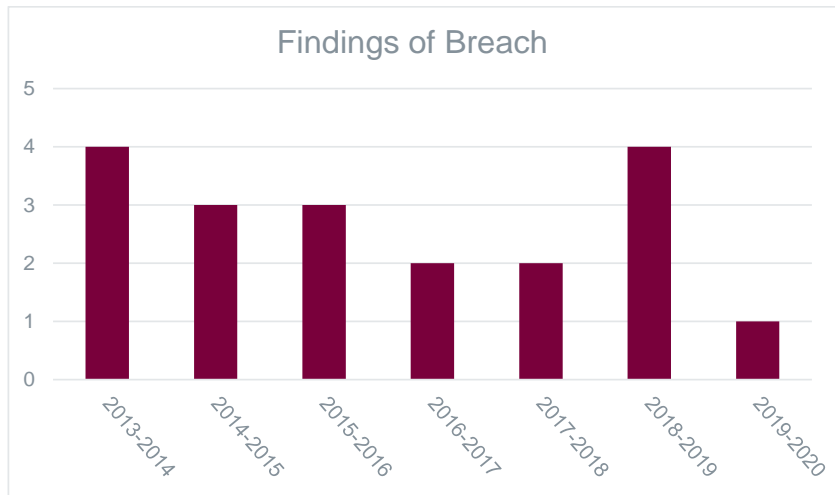


# RESEARCH INTEGRITY POLICY

Statistics for 2013 - 2020

APRIL 2023

The *Research Integrity Policy* was originally approved in 2013 by the Senate and Board of Governors. The Policy was written to comply with the *Responsible Conduct of Research (RCR) Framework*. A requirement to report on basic case statistics was included in the RCR Framework.



## NATURE OF BREACH

2013-2014	plagiarism, failure to retain original source data
2014-2015	fabrication, falsification, destruction of research records, plagiarism
2015-2016	fabrication, falsification, suppression, plagiarism, inadequate acknowledgement, mismanagement of conflict of interest
2016-2017	inadequate acknowledgement, misrepresentations to funding agencies, mismanagement of grants or award funds
2017-2018	fabrication, falsification, destruction of research records, plagiarism, self-plagiarism, inadequate acknowledgement, abuse of authority, breaches of agency policies or requirements for certain types of research, record keeping breaches related to retention/deletion of data
2018-2019	falsification of credentials, fabrication, plagiarism, self-plagiarism, inadequate acknowledgement, abuse of authority, misrepresentations to funding agencies, inadequate supervision
2019-2020	fabrication, falsification, lack of rigour when performing research, inadequate record keeping