UNIVERSITY OF
WATERLOO

University of Waterloo Canada Research Chairs
Equity, Diversity, and Inclusion Action Plan

December 15, 2017

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MESSAGE FROM THE PRESIDENT

A university is only strong when it is a diverse and welcoming community. The University of Waterloo framed its HeForShe IMPACT 10x10x10 commitments to build a more gender-equitable academic, social and administrative environment, knowing the outcomes would immeasurably strengthen the Institution. Waterloo's Canada Research Chairs Equity, Diversity, and Inclusion Action Plan (Equity Action Plan) underpins the provision of an equitable working environment for all its Canada Research Chairs (CRCs), including those from the four designated groups.

To strengthen innovation and punch above its weight on the international stage, Canada must not only attract, but also inspire future generations of researchers. Talented researchers from a plethora of backgrounds bring new ideas, new perspectives and a diversity of opinions, which foster discovery. Ensuring an equitable, diverse, and inclusive workplace for students and researchers will lead to short-term gains and enshrine over the longer term an environment in which all researchers are able to thrive in their respective fields.

This Equity Action Plan will enable Waterloo to continue to attract and retain top talent in all disciplines. Indeed, equity and diversity are not only moral imperatives at Waterloo, but are also strategic strengths that continue to propel the Institution forward in its quest to be recognized as one of the world's most innovative Universities.

Attracting the best researchers from around the world does, of course, require having world-class facilities, but it is also contingent upon a working environment in which researchers from different backgrounds feel welcome and part of a cultural mosaic. It is exciting to work alongside Canada Research Chairs with diverse backgrounds and, through taking steps to promote equity and inclusivity at our Institution, help to create a stronger and more vibrant Canada for future generations.

MESSAGE FROM THE VICE-PRESIDENT, RESEARCH

At the heart of innovation is talent, and talent comes from every part of society. People with new and fresh ideas come from a variety of backgrounds and have varying perspectives. That's why diversity is so important, both to Canada's success on the global stage and to the success of the University of Waterloo as an Institution.

At Waterloo, not only is diversity embraced as a concept, we aim to ensure that our Institution is welcoming to everyone, regardless of gender, race or culture. We endeavour to foster an environment that attracts and retains outstanding and diverse faculty members who contribute to Canada's multi-cultural landscape and enable Waterloo to thrive in a global setting. In this, our goals are in line with those of the Canada Research Chairs program - building on excellence based on foundational values of diversity, inclusion and equity.

Through its Equity, Diversity, and Inclusion Action Plan (Equity Action Plan) initiative, the Canada Research Chairs program aims to foster more of the talent that drives innovation. This is our goal as well. The University of Waterloo has long been recognized as one of the most innovative universities in Canada, and we aim to continue to attract talented and diverse researchers who will keep us at the cutting edge of innovation.

The Canada Research Chairs Program has been an invaluable asset in attracting this talent. We are pleased to play a strong part in the Canada Research Chair Program's effort to close equity gaps, and help make Canada the most attractive country in the world for all researchers.

EXECUTIVE SUMMARY

The University of Waterloo Canada Research Chair (CRC) Equity, Diversity, and Inclusion Action Plan (EAP) identifies initiatives that are being undertaken to address underrepresentation of individuals from the four designated groups (FDG; women, members of visible minorities, persons with disabilities, and Aboriginal peoples) in the Institution's complement of CRCs. The EAP also delineates strategies for ensuring an equitable and welcoming work environment for Waterloo CRCs, including those who are members of the FDG.

A steering committee spearheaded development of the EAP with assistance from related subcommittees. The committees engaged relevant stakeholders including members of the FDG, current CRCs, representatives from each Faculty and senior administrators in discussions encompassing all aspects of Waterloo's current CRC processes. The committees also reviewed the research literature on equity, diversity, and inclusion best practices and examined equity policies and practices at other universities across Canada. The committee noted that the Waterloo CRC equity guidelines put in place in 2016 have engendered a strong foundation from which to launch new initiatives, to close remaining gaps and, in fact, to exceed current targets.

Key objectives in the EAP include:

1. **increasing accountability for improving representation from the FDG in our complement of CRCs;**
2. **revising and expanding training related to unconscious bias, equity, diversity and inclusion;**
3. **introducing procedural changes to increase transparency with respect to management of our CRC processes;**
4. **introducing measures to ensure members of the FDG are not disadvantaged in negotiating institutional support for CRCs;**
5. **ensuring that the work environment for all CRCs, in particular those from the FDG, is equitable, welcoming and one in which they flourish.**

The EAP is designed to ensure that Waterloo reaches, and indeed surpasses, its equity targets for members of the FDG by the end of 2019. A detailed work plan for initiatives related to the EAP, identifying key actions, roles, and responsibilities, will be available on Waterloo's CRC Public Accountability website in early 2018.

1 ACCOUNTABILITY FRAMEWORK

➢ **GOAL: Develop a comprehensive accountability framework for monitoring and improving representation of the FDGs within the University of Waterloo Canada Research Chair complement.**

1.1 INTRODUCTION

The Canada Research Chairs Program is a premier tool for attracting research talent. The program stands at the centre of Canada's strategy for being a global leader in transformative research and innovation. Since its inception, the Program has enabled the University of Waterloo to attract and retain some of the very best researchers in engineering, natural sciences, health sciences, humanities and social sciences.

Waterloo is implementing a Canada Research Chair EAP in alignment with a key recommendation in the Canada Research Chair Program's 15th-year evaluation. This EAP focuses on improving the governance, transparency and monitoring of equity and diversity targets of the Institution's CRC program, and on making swift progress towards enhancing representation from the FDG in its CRC complement.

It all begins with leadership. At Waterloo, we lead by making clear statements not only about our commitment to excellence in research and teaching, but also in promoting equity, diversity and inclusion. A commitment to equity and to appreciating and encouraging diversity is a core goal in the University Strategic Plan, "*A Distinguished Past — A Distinctive Future*". These principles also underpin our Strategic Research Plan, "*Creating Solutions to Address Global Challenges*". Most recently, the President reaffirmed Waterloo's commitment by identifying equity and inclusion as key initiatives in the 2017-2018 President's Report.

Our President has actively led initiatives in this area, including accepting a 2015 invitation to participate in the United Nations Women's HeForShe movement and IMPACT 10x10x10 framework. IMPACT 10x10x10 is a global initiative involving ten universities, ten corporations, and ten heads of state who are all dedicated to gender equality and the empowerment of women. It includes engaging men and boys in removing the social and cultural barriers that prevent women and girls from achieving their potential.

Waterloo is one of only ten universities around the world, and the only Canadian institution, committed to boosting girls' participation in STEM outreach experiences, enhancing the female faculty complement, and advancing women into University leadership positions. We have already surpassed our outreach goal and are very close to meeting our stated goal of 30 percent women faculty. This is a significant accomplishment at a University that is very much focused on science, technology engineering and math (STEM) disciplines, which are traditionally male-dominated.

The IMPACT 10x10x10 work demonstrates the power of setting ambitious but realistic goals, and creating initiatives to drive progress and monitor results. Our Equity Action Plan embraces this philosophy, and we will continue to build on the exceptional progress already achieved through the IMPACT 10x10x10 framework. For Canada Research Chairs, Waterloo is very close to meeting its targets for the FDG. As outlined in Table 1, we have already exceeded our target for members of visible minorities, and only small gaps remain for the other three designated groups.

Table 1: CRC equity targets and data effective November 2017

Designated Group	CRC Program target	Expected	Actual Reported[1]	Gap
Women	25%	15	13	2
Visible Minorities	15%	9	11	no gap
Disabilities	4%	2	-	gap[2]
Indigenous	1%	1	-	gap[2]

[1] 6% of awarded Chairholders chose not to self-disclose
[2] Numbers lower than five are suppressed to protect the privacy of Chairholders

A steering committee and five sub-committees (see governance plan) were tasked with developing Waterloo's Equity Action Plan. These committees diligently reviewed every aspect of Waterloo's internal CRC processes, and developed a number of recommendations to remove obstacles to individuals from the FDG. These recommendations were turned into the SMART (Specific, Measureable, Aligned with the wanted outcome, Realistic, and Timely) objectives of this report (a summary will be available on Waterloo's CRC Public Accountability website in early 2018).

In the coming years, we will continue to engage members of the university community to determine what is being done well and what can be improved to make the CRC Program and our campus as inclusive as possible. Feedback will be used to further enhance internal processes, and progress on meeting and exceeding equity targets will be reported annually.

By meeting the objectives outlined in our EAP, we will be able to close the remaining gaps within the next four Chair nomination cycles.

1.2 ACCOUNTABILITY IN OUR EQUITY ACTION PLAN

The success of our diversity efforts hinges on creating a sense of ownership throughout the University. Senior leaders are fully engaged in meeting institutional equity targets (see commitment statement) and will continue to drive efforts to create a more diverse and inclusive environment.

There is a growing recognition that increasing diversity, inclusivity and equity enriches the entire community. Ultimately, our goal is to leverage successes within the CRC program to other areas on campus.

1.2.1 Accountability framework

➢ **OBJECTIVE:**

- **Increase accountability and develop a monitoring framework for goals related to the Waterloo CRC program.**

Research has shown that increased diversity and equity stems from strong leadership. Diversity efforts often falter when the institutional leadership fails to drive a sense of ownership of the process within academic units. Waterloo's senior leadership is fully engaged in this process. Introducing further transparent practices that encourage diversity and inclusion is an important step toward achieving a sense of ownership across the university.

Deans and academic unit heads will take the lead in promoting the Equity Action Plan within each Faculty. Waterloo's Policy 76 - Faculty Appointments - specifies that the membership of Department/School Advisory Committees on Appointments (DACAs; the committees tasked with faculty hiring) should include women and men. Deans and academic unit heads will require all hiring committees related to CRCs to be reflective of equity across the FDG in their composition and to include an "equity champion" to guide members in employing an equity lens in their work. Waterloo's Internal CRC Review Committee is leading by example, expanding its membership to achieve equity balance.

Deans and academic unit heads will also champion equity-related education/learning opportunities to all faculty and staff, and ensure general awareness of specific tools and practices for promoting equity in particular situations. Regular discussion on activities by leaders to promote equity will be held at executive council, a leadership committee including all senior leaders at Waterloo. These discussions will enable the President, Vice-Presidents, and Deans to report publicly on equity initiatives twice a year.

In addition, the Office of Research will develop a monitoring framework for the implementation of policies, procedures, practices and processes related to the EAP. Annual progress reports will be published to ensure accountability and improve visibility as we strive to close equity gaps.

1.2.2 Collecting Self-identification Data
➢ **OBJECTIVES**

- **Improve collection of self-identification data from CRC applicants to better understand the composition of applicant pools and inform outreach efforts**

- **Implement an annual self-identification survey of active Chairholders to better understand the equity profiles of CRCs**

Accurate data are essential to identify equity gaps and refine strategies to address them through reasoned policy decisions. At Waterloo, we have been tracking aggregate self-identification equity data from applicants to our CRC positions since 2016. Working with our Equity Office, self-identification surveys of active Chairholders will be updated annually to better understand the equity profile of our Canada Research Chair complement. These surveys are voluntary and strictly confidential, and the aggregate data are only used for administrative purposes (See Appendix I).

Moving forward, pseudo IDs will be used as a privacy protection measure for self-identification surveys. The Equity Office will be responsible for conducting the surveys and will be the only office with access to contact information, which will be used exclusively for purposes of sending reminders to complete and/or update survey data. Survey return rates and feedback/questions from participants will be used to assess the effectiveness of surveys. We will continue to adjust the language and clarity of the surveys as necessary to improve data collection and analysis for the Canada Research Chairs program.

We will regularly calculate and review representation of the FDGs in applicant pools for CRC positions as well as the current cohort of Chairs. Aggregate data from applicants will be shared with selection committees so they better understand applicant pool composition and can adjust outreach efforts for future hiring efforts. Aggregate data for current Chairholders are available on our website.

1.2.3   Employment systems review
➢ **OBJECTIVE:**

- **Assess the current state of internal CRC practices, processes, and policies (e.g. equity/unconscious bias training, advertising/outreach, recruitment, retention, Chairholder support, and termination) in order to identify and address barriers to FDGs**

A first step in closing gaps for the four designated groups involves understanding employment systems in order to identify and remove any barriers to attracting and retaining people from diverse groups.

This conversation is already happening on our campus. In-depth discussions with senior administrators to enlist support and develop strategies for the removal of such barriers is ongoing. However, given that a fulsome employment systems review requires dedicated time and resources, Waterloo identified gender as an initial priority and tailored early work accordingly. In 2015/16, the Equity Office undertook a review of all faculty hiring procedures, including CRC selection, using a gender-based lens, and an Equitable Recruitment and Selection Strategy was developed. This strategy included the development of improved training for selection committees and broadening outreach efforts. For instance, since January 2016, equitable recruitment and selection training has been mandatory for all CRC recruitment committee members.

Waterloo's Equity Action Plan calls for the employment systems review to be extended across the FDG, beginning in 2018. The results of this analysis will inform future initiatives to improve internal CRC processes and FDG representation among our CRCs.

The university Secretariat reviews all institutional policies and procedures at least every five years. They will be provided with support to ensure that equity, diversity and inclusivity are woven into the fabric of all governing policies, rendering them conducive not only to closing gaps for the FDG, but also to providing the best possible experience for everyone in the university community.

1.2.4   Environmental Scan
➢ **OBJECTIVES:**

- **Assess the current equity climate at Waterloo to inform future equity, diversity, and inclusion initiatives**

- **Re-assess every two years to track progress in improving the equity climate**

To address equity issues, one must first understand the culture and climate of the University. As part of its IMPACT 10x10x10 work, Waterloo conducted an environmental scan using a gender-based equity lens. In 2015, as part of our IMPACT leadership commitment, a series of roundtable discussions with female faculty, including female CRCs, were organized.

Among the points raised by CRCs and other faculty members during these roundtables were the importance of an equitable and welcoming work environment, sustained mentorship, and opportunities for networking and leadership development for advancing their careers. Many of the same points were raised during the outreach to CRCs conducted during development of this EAP document.

Feedback from those discussions resulted in creation of a comprehensive Academic Leadership Development Program to be launched in 2018. It will be accessible to CRCs and address networking, leadership recognition,

leadership skills, and mentorship/career sponsorship. The EAP calls for expansion of this program as it matures to address specific needs of CRCs who identify as members of the FDG.

Together with input from advisory committees conducting University-wide environmental scans, feedback from these roundtables will also be used to inform the development and implementation of additional surveys to assess the equity climate for CRCs on campus. The surveys will focus on gaining a better understanding of Chairholder experience during recruitment, onboarding and during the term of the CRC. An initial survey will be completed and analyzed during 2018. Our plan is to administer a CRC Equity Climate Survey every two years and use the feedback to refine equity initiatives. Annual Progress Reports will delineate improvements made in the equity climate for CRCs, particularly members of the FDG.

1.2.5 Equity, diversity, and inclusion training

➢ **OBJECTIVES:**

- **Introduce and expand training related to unconscious bias, equity, diversity and inclusion for those involved in managing Waterloo's CRC program**

- **Improve safeguards for obviating any negative influence of career gaps on recruitment and nomination of CRCs**

The Equity Office has developed two training sessions relevant to CRC recruitment:

- **Equitable Recruitment and Selection Training for Hiring Committees**: All procedures related to recruitment and selection of CRCs, and indeed, all faculty hires, are reviewed through an equity lens. The goal is to ensure that fair, objective and inclusive recruitment and selection processes, mindful of current legislation, are followed with a view to finding the best-qualified candidate.

- **Addressing Unconscious Bias in the Evaluation Process**: An interactive session has been designed for individuals with responsibility for faculty recruitment, including members of CRC recruitment committees. Among the topics considered are the nature of unconscious bias, its impact and how to disrupt it. The goal is to develop awareness of strategies for obviating any effect of unconscious bias on performance evaluation.

All members of Waterloo's EAP steering committee and sub-committees, current members of the Internal CRC Review Committee, Office of Research staff involved in administering the CRC Program, and the Deans of our six Faculties have received this equity and unconscious bias training. Moving forward, every individual involved in the recruitment and nomination of candidates for CRC positions will receive equity and unconscious bias training annually.

We will continue to refine the training program to provide specific tools for better decision-making in particular situations, including, for example, ensuring that members of the FDG are not disadvantaged when applying for a CRC position in cases where they have career gaps related to leaves.

2   CHAIR POSITION MANAGEMENT

➢ **GOAL: Improve practices, policies, processes and procedures related to the equitable management of Waterloo's CRC positions.**

The University of Waterloo recognizes that closing current equity gaps in its CRC program in a timely fashion requires adjustments to internal processes to remove systemic barriers and diversify applicant pools. Application of an equity lens to all CRC recruitments and to procedures for managing the CRC program will ensure that members of the FDG have equitable access to CRC employment opportunities, and that talented and diverse CRC nominees are selected in a transparent and consistent manner.

To this end, several changes to procedures for managing Waterloo's CRC program will be implemented. They are described below.

2.1   GENERAL MANAGEMENT OF CHAIR POSITIONS

The Office of Research is responsible for general oversight of the CRC Program at the University of Waterloo. The CRC Internal Review Committee, comprised of the Vice- President, Research, the Associate Vice-President, Research, and a senior faculty member at large, provides additional oversight in respect of both new and renewal nominations and use of the corridor of flexibility. Per the EAP, terms of reference for this committee are being revised, and its membership will be expanded in early January 2018 to achieve equity balance.

2.1.1   Allocation of chair positions and phasing out in the event of a decrease

➢ **OBJECTIVE:**

- **Introduce procedural changes to increase transparency in the management of chair allocations**

CRC allocations will be informed by equity considerations as well as Tri-agency funding. Decisions will be guided by the strategic priorities of the University, with oversight by the Vice-President, Research, Provost and President.

Specific targeted searches have been recently implemented. For example, a search for an Engineering CRC was targeted to address FDG gaps, namely those for women and persons with disabilities. For some STEM disciplines, a committee of Research Fellows will advise on specific research areas with a strong pool of FDG candidates that will be targeted for a CRC position. This will benefit all FDG, but is expected to be particularly helpful in closing the gap for Indigenous CRCs.

In national re-allocations of CRCs to date, Waterloo's CRC complement has remained constant or increased. However, procedures for phasing out Chair positions in the event of a reduction in our institutional allocation have now been formalized using an equity lens.

If the re-allocation results in the need to adjust the number of Chair positions assigned to a Faculty, the following process will be used:

1. Any increase to a Faculty's Chair allocation will take effect immediately.

2. Any decrease to a Faculty's Chair allocation will be implemented as follows:

- o If that Faculty has an open Chair position, it will be withdrawn and either re-allocated to another Faculty in accordance with internal procedures or, if the Institution as a whole must lose a Chair position, returned to the CRCP.

- o If that Faculty does not have an open Chair position, the OR will review allocations across the Institution to determine if there is an open Chair position elsewhere that could be returned to the CRCP to avoid having to wind-down a filled Chair. Inter-Faculty negotiations facilitated by the OR will ensure the Chair position is returned as soon as possible.

- o If there is no flexibility across the University, the Faculty losing a Chair position will be required to initiate a wind-down of an existing Chair. To wind-down a Chair(s), that Faculty will work with the OR to do so with minimal disruption to the Chairholder.

- o To ensure a fair and transparent process for returning a filled Chair position, the first call for a phase-out will be a second-term Chairholder closest to the end of his/her second term or, if there is no second-term Chairholder, the Chairholder closest to the end of his/her first term, regardless of Tier.

At Waterloo, we strongly believe that active Chairholders should not be penalized if, through no fault of their own, their CRC must be wound down. To protect all Chairholders, including those from the FDG, if a Faculty must wind-down active Chairholder positions the Dean and Provost will ensure that the level of support (financial and non-financial) agreed at the outset continues until what would have been the normal end of the CRC term. In keeping with the CRC Program's guidelines, the Chairholders will also retain their title until what would have been the end of their term.

2.1.2 Corridor of flexibility
➢ **OBJECTIVE:**

- **Revise flex move procedures taking into consideration impact on members of the FDG**

The CRC Program provides Universities with flexibility to change the Tier or research area of a limited number of Chair positions. Waterloo has been allocated 10 "flex moves," and the current usage is publicly available.

Flex moves are coordinated by the Office of Research. Moving forward, flex move requests will be made prior to advertising a Chair position. All requests will be reviewed by the Internal CRC Review Committee, with due consideration to equity. For example, flex moves have been made recently to allow searches in fields where the applicant pool has higher representation of members from the FDG. All flex move requests are ultimately approved by the Tri-Agency Institutional Program Secretariat. Once a flex move has been utilized, the Faculty and Office of Research will use the earliest opportunity to reverse it in order to maintain the original balance between Tiers and among research areas (i.e., SSHRC, NSERC and CIHR). The full process is outlined in Appendix II.

2.2 RECRUITMENT

2.2.1 Advertising and outreach

➢ **OBJECTIVES:**

- **Improve hiring and outreach practices to increase representation from the FDG in the CRC complement**

- **Create inclusivity and diversity promotional materials for CRC interviewees**

A fair and equitable CRC recruitment process begins with strong advertising and outreach initiatives. CRC advertisements include the University of Waterloo's Equity Statement, which reads:

> *The University of Waterloo is committed to equity and respects, appreciates and encourages diversity. We welcome applications from all individuals including women, members of visible minorities, persons with disabilities and Aboriginal (Indigenous) people.*

As of January 1, 2018, all CRC positions will be advertised internally and externally in accordance with Policy 76. In addition, Waterloo has expanded the minimum number of sites for advertising all external positions, including CRC positions, to ensure more diverse groups are made aware of recruitment opportunities. Originally limited to advertisements through the Canadian Association of University Teachers (CAUT) and Association of Universities and Colleges of Canada (AUCC), mandatory job sites now include "women in" sites (such as Senior Women Academic Administrators of Canada (SWAAC)), and Indigenous websites (such as AboriginalCareers.ca).

Enhancing outreach is essential for increasing the number of applicants for CRCs from the FDG. Accordingly, CRC hiring committees are also strongly encouraged to engage in targeted outreach, including:

1. consulting with associations that lobby on behalf of the FDG to determine optimal ways of advertising CRC positions for each group;

2. outreach through their own networks, mindful of equity bias. This includes actively seeking out scholars from the FDGs at national and international conferences;

3. proactively identifying leading and upcoming scholars from the FDG and engaging with them to build long-term relationships with the UW community. This will include, but is not limited to, inviting them to give research seminars at Waterloo and introducing them to senior administrators and Waterloo faculty from the FDG; and

4. using data collected from applicant self-identification surveys to refine recruitment strategies (see Chapter 1 for information on data collection).

Various studies have demonstrated that highlighting how potential recruits will fit into the community results in improved recruitment from the FDG. We will create inclusivity and diversity materials for all CRC interviewees. This information package will highlight amenities/communities/resources available at the university and throughout the region. Waterloo Region is a great place in which to work and live – this promotional material will allow individuals to see how they will fit into the community right from the start of their academic appointment.

2.2.2 Recruitment Process

➢ **OBJECTIVE:**

- **Introduce procedural changes to increase transparency and equity in recruitment of CRCs.**

Equitable recruitment involves ensuring that well-developed processes for open competitions and clear evaluation criteria are in place. Transparency is the key to reducing perceptions of unfairness.

Equity best practice contends that recruitment should be research area-focused rather than person-focused. To ensure a fair process, the University of Waterloo will eliminate the option of using the emergency retention pathway (nominating a researcher for a CRC who is considering leaving the university to take a position elsewhere, and whose departure would significantly jeopardize a strategy area of research) as of January 1, 2018.

In 2015, Waterloo's hiring practices for Canada Research Chairs were reviewed, and equity guidelines were implemented in 2016. This included development of an equity checklist to help guide CRC hiring committees through a fair and transparent recruitment process. These guidelines have been updated in light of our decision to remove the emergency retention pathway and to concurrently advertise CRC positions internally and externally in order to cast as wide a net for potential candidates as possible. Further updates will be executed as we implement the changes described in our Equity Action Plan. For instance, we will update the equity checklist to ensure safeguards and accountability are in place to protect applicants, including those from the FDG, from being disadvantaged by career gaps related to leaves. Meanwhile and of note, our faculty appointments policy (University of Waterloo Policy 76), which governs the hiring of faculty members including CRCs, is under review and will be updated with regard to Equity to align with this document.

The full recruitment process is outlined in Appendix II.

2.3 RENEWALS

➢ **OBJECTIVES**:

- **Revise the process for managing CRC renewals to enhance transparency**

- **Introduce procedure for communicating renewal criteria**

In conjunction with introducing procedures to more effectively recruit members of the FDG for open CRC positions, we are implementing a more transparent and equitable process for reaching decisions on renewals of existing Canada Research Chairs.

Renewal nominations will continue to be reviewed at the Faculty level and by the Internal CRC Review Committee. However, the EAP calls for greater transparency in this process so that Chairholders clearly understand criteria for renewal of their Chair. Effective January 2018 and beyond, academic unit heads, guided by new processes and metrics (details in Appendix II), will work with first term CRC nominees to establish bona fide renewal criteria appropriate to the unit / Chairholder.

If the nomination is successful, progress of the Chairholder against these criteria will be discussed during annual / biennial performance reviews. The renewal criteria will also be used by the Internal CRC Review Committee to evaluate proposals for CRC renewals.

Full details on the renewal process and criteria can be found in Appendix II.

2.4 ADVANCEMENT FROM A TIER 2 CHAIR TO A TIER 1 CHAIR

➢ **OBJECTIVE:**

- **Increase transparency of the process for advancement from Tier 2 to Tier 1**

Waterloo's processes for advancement from a Tier 2 CRC to a Tier 1 CRC will not change with implementation of the Equity Action Plan. However, clearer communication at the onset of a Tier 2 Chair about advancement processes will enable the University to ensure fairness and transparency.

Tier 2 Chairs are meant to help early career researchers establish a strong research program, and there will not be any expectation of automatic advancement to a Tier 1 Chair. Advancement from a Tier 2 to a Tier 1 Chair is possible, but only for *exceptional* candidates who compete for a Tier 1 Chair position in a broad disciplinary area that is advertised internally and externally. It is to be noted that:

- advancements are considered *new* positions and must follow Waterloo's CRC Recruitment procedures (see Recruitment); and

- to ensure continual funding, an advancement application must be submitted to a regular CRC round (April or October) at least six months prior to the end date of the Chairholder's current term.

2.5 INSTITUTIONAL SUPPORT FOR CHAIRHOLDERS (FINANCIAL AND NON-FINANCIAL)

➢ **OBJECTIVE:**

- **Introduce measures to ensure that individuals from the FDG are not disadvantaged in negotiations related to institutional support**

Research has shown that support and compensation negotiations can be challenging for members of some designated groups. We have undertaken a comparative review to understand the support offered to current Chairholders. Given that the University had completed a comprehensive review of faculty member salary levels in 2015, we did not include CRC Chairholder salary in our review. We looked at the institutional support committed at time of application, including student salary support, non-student salary support, research funds, and teaching release. We broke down our analysis by Tier, Funding Agency, experience (i.e. new vs renewal), discipline, as well as the four designated groups. While no clear trends emerged from this analysis, the exercise did reinforce the importance of equity in the provision of robust financial and non-financial support to all Chairholders, including increased time for research, a fixed stipend, and research funding (details in 2.5.1).

Moving forward, the following measures will be implemented to safeguard all Chairholders when determining institutional support:

- the Equity Office will provide extensive education and training for those involved in determining institutional support (e.g., academic unit heads and Deans) ;

- to the extent possible, the need for actual negotiation will be minimized in deference to those who may not be comfortable negotiating terms with a new employer;

- the Office of Research will provide nominees with relevant information regarding institutional support; and

- Chairholders will submit a summary of agreed internal support to the Office of Research signed by the Chairholder, her/his academic unit head, and Faculty Dean. Office of Research staff will use this to verify that each Chairholder is receiving the level of support specific for their Tier and academic unit per the guidelines below.

2.5.1 Financial and non-financial support guidelines

The following guidelines for institutional support will apply to new and renewal nominations submitted for the April 2018 application round and beyond.

2.5.1.1 Protected time for research

➢ **OBJECTIVE**

- **Revise teaching assignment guidelines for Chairholders to achieve more equitable protected time for research**

The University of Waterloo has always provided Chairholders with protected time for research through a reduction in their teaching assignment. It is important to ensure that all Chairholders, including members of the four designated groups, are equally supported through the provision of teaching release. Accordingly, all Chairholders will henceforth receive teaching release equivalent to 50% of the normal course assignment for their academic unit each year for the duration of their CRC term.

Inasmuch as teaching is an important element of an academic position, Chairholders are expected to teach both undergraduate and graduate courses over their CRC term, in part to ensure readiness for a return to a standard teaching assignment once their CRC term ends but also because Waterloo believes that CRCs should be sharing their expertise with students.

With a view to easing the transition to a standard teaching assignment at the end of a CRC and managing the attendant recalibration of research commitments, Chairholders have the option of deferring a portion of their reduced teaching assignment for up to two years beyond the end of their CRC term.

Other measures to support Chairholders as their term ends are presented in 3.1.5.

2.5.1.2 Funding from the Chairs program

Budget item	Amount	Additional Information
Chairholder's salary[1]	Regular annual salary (salary increases will occur as per the standard annual merit-based procedures)	Salaries should be kept comparable with those of outstanding UW faculty who do not have CRCs. Comparisons with such cohorts will be provided in Annual Progress Reports
Fixed stipend[1]	Tier 2 = $10,000/year Tier 1 = $15,000/year	For all Chairholders, the stipend is conditional on holding the CRC: if the CRC funding stops, so does the stipend. The stipend is not part of base salary for purposes of pension, benefits, or annual salary increases.
CRC Research Fund[1]	Tier 2 = Set by academic unit Tier 1 = Set by academic unit	The CRC Research Fund is sourced from the CRC Funds, with top-up, as needed, from University funds. Each Faculty sets appropriate levels of support for each academic unit. These levels are re-evaluated annually and kept on file in the Office of Research. Chairholders have flexibility to use these funds in accordance with CRC Program guidelines.

Once CRC funds are depleted, the University will underwrite outstanding commitments.

2.5.1.3 Funding from the University

Budget item	Amount	Additional Information
Residual salary, Central University Charge, stipend, and CRC Research Fund	Any outstanding commitments from "Funding From Chairs Program"	As per above, the CRC Research Fund can be used in accordance with CRC Program guidelines.
Benefits	Estimated at 20% of salary	Actual rate will vary depending on family status and salary level.

The Office of Research will work with the Faculties and hiring committees to ensure that the processes related to Waterloo's management of CRCs described herein are enacted, reviewed regularly, and revised as needed based on feedback from biennial equity climate surveys.

3 CHAIRHOLDER RETENTION AND INCLUSIVITY

➢ **GOAL: Improve the work environment and support services for all Chairholders, including those from the FDG**

3.1 CREATING A MORE SUPPORTIVE ENVIRONMENT FOR CHAIRHOLDERS

During development of the EAP, the University reached out to current Chairholders and members of the FDG to learn what is needed to create a more supportive and inclusive environment. Feedback was used to develop strategies for enhancing retention and inclusivity within the program and address equity concerns on campus. Our objective is to increase the number of CRCs from the FDG beyond a critical mass.

The ongoing Equity Climate Surveys will allow Chairholders to have an active voice on key EAP issues and enable ongoing refinement of strategies for fostering a supportive environment for Chairholders.

3.1.1 Creating an "aware" campus
➢ **OBJECTIVE:**

- **Promote equity-related education/learning opportunities**

Waterloo is actively working to create an "aware" campus where all members of the community are sensitive to equity considerations, including the need to confront unconscious bias.

Several offices on campus provide learning and development opportunities to promote a campus culture supportive of equity. Beyond the "Equitable Recruitment and Selection Training" and "Addressing Unconscious Bias in the Evaluation Process" training described in 1.2.5, the Equity Office offers a suite of customizable training sessions to faculty including CRCs as well as staff and students. Waterloo will endeavor to weave equity practices into the very fabric of University life. This includes providing compulsory equity and unconscious bias training for faculty members early and throughout their careers (e.g., within the first year and every five years

thereafter) in addition to the training currently available for academic unit heads and mandated for all members of hiring committees.

The Department of Organizational and Human Development (OHD) offers the Inclusivity Series, a seven-part e-certificate program of workshops that acknowledges, communicates and promotes an understanding of the complexity and uniqueness of the University of Waterloo community, presenting the ideals by which campus members should engage one another - with respect, sensitivity and fairness. In November 2015, OHD and the University received the Silver Award in Facilitated Programs from the institute of Performance and Learning for the Inclusivity Series.

3.1.2   University policy renewal project
➢ **OBJECTIVE:**

- **Create policies that encourage behavior conducive to equity, diversity and inclusion**

Waterloo's commitment to the principles of equity, diversity, and inclusion can be found throughout its library of University policies. Those policies relevant to the recruitment and management of Canada Research Chairs include the following:

- [Policy 3, Sabbatical and Other Leaves for Faculty](#)

- [Policy 14, Pregnancy and Parental Leaves (including adoption)](#)

- [Policy 33, Ethical Behaviour](#)

- [Policy 42, Prevention and Response to Sexual Violence](#)

- [Policy 59, Reduced Workload](#)

- [Policy 61, Religious Accommodation](#)

- [Policy 65, Equality in Employment](#)

- [Policy 76, Faculty Appointments](#)

Waterloo's Secretariat has undertaken a [Policy Renewal Project](#) with the aim of ensuring timely review and revision, at least every five years, of existing University policies as well as the creation of new policies as needed. We have engaged the Secretariat to ensure than an equity lens is applied during this process. The intent is to weave equity, diversity and inclusivity into the fabric of all Waterloo's governing policies with specific provisions for not only closing gaps for the four designated groups, but also enabling a welcoming and supportive environment for CRCs, indeed all members of the university community.

3.1.3   Accommodations and Resources for Chairholders
➢ **OBJECTIVES:**

- **Continue to manage accommodation-related needs of CRCs, including those from the FDG**

- **Provide options for flexible accommodations beyond policy**

Several University of Waterloo policies have provisions designed to ensure that faculty members, including members of the FDG, are not disadvantaged by career gaps stemming from leaves such as pregnancy or parental

leave. These include Policy 3 (Sabbatical and Other Leaves for Faculty Members), Policy 14 (Pregnancy and Parental Leave), and Policy 59 (Reduced Workload).

CRCs will be encouraged to bring accommodation-related issues to the attention of their academic unit head and/or Faculty Dean. The University will continue to be sensitive to the need to manage accommodation-related costs to ensure they will not be a disincentive to making accommodation-related issues known or acted upon. Equity Office training and educational materials provide guidance to senior administrators for managing these requests.

Creating an inclusive environment for all Chairholders also requires flexible "accommodations" beyond the provisions in Policies. For example, academic units should be supportive of providing a replacement instructor if a Chairholder or other faculty member has to care for sick children. These types of initiatives will help to ensure that all Chairholders, including members of the FDG, feel included and valued.

Finally, the University must provide easily accessible and appropriate facilities for Chairholders and others in the University community. For example, through Waterloo's 'Inclusive Washroom Initiative', single-use inclusive washroom facilities are being provided to meet the diverse needs of students, Chairholders and other faculty and staff, including those individuals who identify as transgender or gender variant, parents with children of the opposite sex/gender, persons with disabilities accompanied by a personal care attendant, men and women.

Future initiatives may include providing activities for Chairholders' children over the summer and Christmas holidays; increasing daycare capacity on campus; and creating multi-faith prayer and meditation rooms.

3.1.4   Mentorship, Networking, and Engagement with Leadership
➢ **OBJECTIVE:**

- **Provide a more supportive/inclusive workplace for all Chairholders**

The Office of Research will work with the Equity Office and Waterloo's IMPACT 10x10x10 group to develop a mentorship program that includes mentors from the FDG to support CRC nominees and junior Chairholders. Networking opportunities and a venue for discussion of equity issues will be provided for CRCs from the FDG. As well, through the IMPACT 10x10x10 Academic Leadership Development Program Chairholders will be provided with opportunities to engage with senior university administrators on matters pertaining to equity, diversity and inclusion. The Office of Research will also facilitate connections between CRCs and other faculty members who have related research interests to foster a greater sense of community and increased awareness of opportunities for collaboration.

A cornerstone of institutional support for equity, diversity and inclusion at the University of Waterloo is regular input to line-management and policy-makers from a number of advisory groups. Chairholders, and indeed all faculty members, can engage the following groups to drive equity initiatives:

3.1.4.1   *The Provost's Advisory Committee on Equity (PACE):*
This is a University-level committee, advisory to the Associate Vice-President, Human Rights, Equity, and Inclusion, that contributes to the advancement of equity on campus by providing a forum for consultation. The Committee advises on Inclusion, Diversity, Equity and Accessibility for Success (IDEAS). There are currently two working groups - one for Sexual and Gender Diversity (LGBTQ+) and the second for Sexual Violence-related Education and Training. Through such discussions, Waterloo is creating inclusive spaces for open dialogue on FDG issues.

3.1.4.2   University of Waterloo Indigenization Strategy Advisory Committee:

The Associate Vice-President, Human Rights, Equity, and Inclusion has established an Advisory Committee to advise the President, Provost, and senior management on the development of an Indigenization Strategy at Waterloo.

The committee will engage with the entire University of Waterloo community as well as partners within the wider community. It will particularly look to Indigenous scholars, students, staff, community representatives, and leaders for insight and guidance to develop the University's response to the calls to action of the Truth and Reconciliation Commission of Canada.

3.1.4.3   Accessibility Committee:

This committee, established in 2017, comprises representatives from administrative groups that have direct influence on creating accessible environments (Plant Operations, Information Systems & Technology, and Human Resources), the Director of Equity, as well as representatives from the Faculty Association of the University of Waterloo, the Canadian Union of Public Employees, and the University of Waterloo Staff Association. The mandate of this committee is to identify initiatives and frame attendant recommendations that will enhance spatial accessibility for the entire University community. The committee is also tasked with supporting the development of an Accessibility Policy to remove and prevent barriers to employment, education, and services for persons with disabilities whilst respecting their dignity and right to privacy.

3.1.4.4   Status of Women and Equity Committee (SWEC):

SWEC is a committee of the Faculty Association that engages in educational and advocacy activities related to the status of women, and equity issues such as those arising from gender, ethnicity, race, sexual orientation, disability, religion, age, or gender identity. The committee has developed an annual award that recognizes a member or affiliate of the University of Waterloo community whose actions have demonstrated an exemplary commitment to improving equity, inclusivity, and/or diversity at the University.

3.1.4.5   HeForShe IMPACT 10x10x10:

As mentioned in the introduction, Waterloo is one of only 10 universities in the world participating in the United Nations' IMPACT 10x10x10 framework. Waterloo's framework includes the following specific aims:

- boost girls' participation in STEM outreach experiences to build a pipeline for future female leaders;
- enhance the female faculty complement, driving towards parity in the future; and
- advance women into leadership positions in the University.

A number of specific initiatives have been developed in order to achieve these goals by 2020, including the following:

- development of a comprehensive leadership development program, including mentorship and networking opportunities, for all faculty, with some targeted elements for those who identify as women;
- the provision of gender equity research grants to support research aimed at understanding and advancing gender equity, with preference given to projects that advance our IMPACT commitments;
- the provision of campus and Faculty advocates who engage students, staff, faculty and alumni in discussion of gender equity issues to foster a more gender - equitable environment;
- the Excellence and Quality in Academic Life in STEM (EQuALS) conference, Ideathons, positive masculinity workshops, Writing contest and Equity In/Action anthology.

Together, these initiatives have helped Waterloo make real progress toward the IMPACT commitments, which in turn will create a more supportive environment for female Chairholders on campus. For example, we are close to achieving our goal of increasing the female faculty complement to 30%, with current representation at 29.8%. Equity and diversity are considered at all levels of leadership when structuring committees. Our IMPACT framework celebrates these achievements publicly through, for example, our President participating in national events like the Gender Summit and through recognition of achievements in our media publications publications. We have also made solid progress toward our target of 29% female participation in academic and senior leadership roles. In 2017, we are at 27.4%. This will provide junior female CRCs with role models and create a pipeline of female leaders.

3.1.5   Workload during and transitioning out of a Chair position

➢ **OBJECTIVES:**

- **Provide and enforce a wider definition of service for faculty members, including CRCs**

- **Improve support for CRCs transitioning out of a Chair position**

One of the challenges that Chairholders from the four designated groups face is that they sometimes carry heavier service loads compared to other Chairholders. They may also provide unconventional forms of service that are not recognized.

The University is committed to redressing this issue. The Provost's Office will develop a broader definition of service to recognize unconventional yet important service, often related to equity, that individuals from the FDG provide in an ad hoc manner. This change will acknowledge such diverse contributions, building a more inclusive campus environment. Academic unit heads will use this broadened definition to ensure that Chairholders, and indeed all faculty in their unit have appropriate service loads.

Academic unit heads will also support the end-of-term transition by communicating to Chairholders clearly and consistently throughout the life cycle of a CRC the implications of this transition, but particularly during the two to three years prior to the end of a Chairholder's term.

In particular, academic unit heads will discuss with the Chairholder: a) the need to modify research and graduate student supervision commitments; b) alternative awards or programs they could benefit from once their CRC ends; and c) tenure, promotion, and strategic sabbatical planning. The effectiveness of this communication will be tracked through the regular Equity Climate Surveys.

Long-term, the University will develop and implement a CRC exit survey to glean data that will enable fine-tuning of support provided during this transition phase.

3.2   ADDRESSING EQUITY CONCERNS

3.2.1   General support of the Equity Action Plan

Strategies outlined in this EAP and other campus-wide initiatives are designed to enhance diversity and inclusivity in the Waterloo CRC program and the greater University community. Coordinated by the Office of Research, members of Waterloo's Human Resources and the Human Rights, Equity, and Inclusion Office (which includes the Equity Office, Conflict Management, Human Rights Office, and Sexual Violence Response Co-

ordinator) will facilitate implementation of the University's Equity Action Plan, as well as regularly review the plan.

The Equity Office is tasked with:
- providing equity education, training, and toolkits;

- identifying and addressing equity issues, and promoting equity on a case-by-case basis; and

- administering self-identification surveys that track progress against equity targets.

The Equity Office will work with Human Resources in handling confidential self-identification data, administering university-wide surveys, and organizing workshops. Other targeted events will be developed by the Human Rights, Equity, and Inclusion Office and offered to the university community.

3.2.2   Procedures for addressing equity concerns
➢ **OBJECTIVE:**

- **Formalize procedures and practices for addressing concerns/complaints related to equity**

Academic unit heads and Faculty Deans as well as concerned individuals are encouraged to proactively engage the Human Rights, Equity, and Inclusion Office with respect to supporting and promoting equity and inclusivity. However, specific concerns or complaints related to equity in the CRC program and more generally across the University are addressed through line-management. Academic unit heads and supervisors are encouraged to consult members of the Human Rights, Equity, and Inclusion Office for advice in dealing with such matters.

The steps for addressing a concern are outlined below.

Executing a concern:

Role	Concern	Contact
Academic unit head/manager/individual	Want to address an equity matter proactively	Equity Office
Individual	Want to proceed with an equity concern/complaint	Speak with the supervisor in question: • Faculty - Department Chair/School Director

Addressing a concern:

Role	Contact
Academic unit head/managers	Consult with the appropriate unit of the Human Rights, Equity, and Inclusion Office: • Equity Office, • Conflict Management and Human Rights Office, or • Sexual Violence Response Co-ordinator. Consult with your Dean for advice on addressing equity concerns/complaints.

The Associate Vice-President of Human Rights, Equity, and Inclusion will be made aware of, and address, any larger, systemic equity issues that emerge.

At the University of Waterloo, we are guided by light from the twin lampposts of research excellence and equity. We firmly believe that by interweaving these two strategic priorities we can build an even stronger and more robust research environment that will be an important engine of innovation for Canada in the future.

Some of the changes proposed in this EAP are complex and will require careful implementation. Of course, change of any kind can be contentious. However, by introducing these changes in the spirit of fairness and by communicating our intentions clearly, we will strive to rally the university community around a determination to meet and even exceed equity expectations.

In the end, this EAP is all about building a more inclusive and stronger research community at Waterloo and in Canada, one that will ultimately inspire future generations of Canadian researchers and lead to more innovation and economic progress for the benefit of all Canadians.

The University of Waterloo administers self-identification surveys to both CRC applicants and Chairholders. The email to applicants (I.1), the email to Chairholders (I.2), the survey landing page (I.3), and the self-identification survey (I.4) are shown below.

I.1 EMAIL TO CRC APPLICANTS

PRIVATE AND CONFIDENTIAL

Dear Applicant,

The Canada Research Chair Program (CRCP) is committed to excellence in research and the federal government's policy on employment equity. The University of Waterloo is committed to ensuring representation of the four designated groups (women, members of visible minorities, persons with disabilities and Aboriginal/Indigenous people) within the CRCP.

The Equity Office is seeking your assistance with gathering data for the following purposes:

- To determine the representation of the four designated groups in the pool of applicants;

- To report on the University's compliance with equity targets to the Office of Research and the Canada Research Chair Program (in an aggregate form); and

- To understand the success with outreach;

All applicants for Canada Research Chair positions are invited to complete this self-identification survey. To complete the survey you will need the prospective position details from the job advertisement.

Your response to the survey is voluntary and confidential. Please see details about this on the landing page.

The survey is available at the link below:

UW Equity Survey for Canada Research Chairs

Your unique security token is: XXXXXX for one time access to the survey.

This survey can be made available in an alternate format upon request, please contact the Equity Office for assistance.

If you have a question about this survey, please contact, Joanne Adair, by email: jeadair@uwaterloo.ca.

Thank you.

For detailed instructions on survey completion, please see the following.

1. Navigate to the **Equity Survey for Canada Research Chairs** website.

    Equity Survey for Canada Research Chairs | Equity Office

2. When prepared to complete the **Equity Survey for Canada Research Chairs,** click on **Start the Survey**. The security token will be automatically filled in once you navigate to the survey.

   Please note that once you submit the survey the unique security token will become invalid. Please contact the form administrator if you have questions.

   Security token * (required)
   Please use the unique URL that we provided to you or contact us.

   111115

   Start the survey

3. To continue completing the survey, consent is required. If you wish to consent, check the **Yes, I consent** box to grant consent.

   ─Consent required to continue─

   By voluntarily completing this survey, I am providing consent to the use of this data by the University of Waterloo (Equity Office and Office of Research). * (required)

   ☐ Yes, I consent

4. Once consent is granted the remaining survey questions will display and the form can be completed.

5. When prepared to submit to the survey click **Submit**.

   Submit

6. A confirmation message will display upon submission.

   # Equity Survey for Canada Research Chairs

   Your survey was successfully submitted on Tuesday, February 23, 2016 - 11:56. Thank you for completing the Equity Survey for Canada Research Chairs.

I.2 EMAIL TO ACTIVE CHAIRHOLDERS

PRIVATE AND CONFIDENTIAL

Dear Chairholder,

The Canada Research Chair Program (CRCP) is committed to excellence in research and the federal government's policy on employment equity. The University of Waterloo is committed to ensuring representation of the four designated groups (women, members of visible minorities, persons with disabilities and Aboriginal/Indigenous people) within the CRCP.

The Equity Office is seeking your assistance with gathering data for the following purposes:

- To determine the representation of the four designated groups in the pool of applicants;

- To report on the University's compliance with equity targets to the Office of Research and the Canada Research Chair Program (in an aggregate form); and

- To understand the success with outreach.

All Canada Research Chairholders are invited to complete this self-identification survey.

Your response to the survey is voluntary and confidential. Please see details about this on the landing page.

The survey is available at the link below:

UW Equity Survey for Canada Research Chairs

Your unique security token is: XXXXXX for one time access to the survey.

This survey can be made available in an alternate format upon request, please contact the Equity Office for assistance.

If you have a question about this survey, please contact, Joanne Adair, by email: jeadair@uwaterloo.ca.

Thank you.

For detailed instructions on survey completion, please see the following.

1. Navigate to the **Equity Survey for Canada Research Chairs** website.

   Equity Survey for Canada Research Chairs | Equity Office

2. When prepared to complete the **Equity Survey for Canada Research Chairs,** click on **Start the Survey**. The security token will be automatically filled in once you navigate to the survey.

   Please note that once you submit the survey the unique security token will become invalid. Please contact the form administrator if you have questions.

Security token * (required)
Please use the unique URL that we provided to you or contact us.

111115

Start the survey

3. To continue completing the survey, consent is required. If you wish to consent, check the **Yes, I consent** box to grant consent.

Consent required to continue

By voluntarily completing this survey, I am providing consent to the use of this data by the University of Waterloo (Equity Office and Office of Research). * (required)

☐ Yes, I consent

4. Once consent is granted the remaining survey questions will display and the form can be completed.

5. When prepared to submit to the survey click **Submit**.

Submit

A confirmation message will display upon submission.

1.3 SURVEY LANDING PAGE

Your response to the survey is voluntary and confidential. The Equity Office is the only office that will have access to your contact information and will use it exclusively for the purposes of sending reminders to complete and/or update the survey data. Pseudo IDs are used as an added privacy protection measure. Your name will not be provided to the Canada Research Chair Program.

If you choose to stay in touch with the Equity Office, you can indicate that by sharing your email address at the end of the survey. (For current Chairholders only)

If you wish to update your survey responses, please contact the Equity Office for assistance. (For current Chairholders only)

If you have a question about this survey, please contact, Joanne Adair, by email: jeadair@uwaterloo.ca.

I.4 SELF-IDENTIFICATION SURVEY

Position of: (*drop down options*)

The Chair type is: (*drop down options*)

This position is in the Faculty of: (*drop down options*)

I am an (to be completed by CRC applicants only)

- ☐ Internal candidate (currently employed at UWaterloo)
- ☐ External candidate (not currently employed at UWaterloo)

I learned about this position by the following means – *please check all the boxes that apply* (to be completed by CRC applicants only):

- ☐ CAUT bulletin

- ☐ University Affairs

- ☐ Word of mouth from a colleague

- ☐ Word of mouth from a UW colleague

- ☐ UW website

- ☐ Listserv, please specify _____

- ☐ Other advertisement

- ☐ At a UW event, please specify _____

- ☐ Other means, please specify _____

1. **For the purpose of the CRCP, women are a designated group. Are you a**
   - ☐ Man
   - ☐ Woman
   - ☐ Other

2. **For the purposes of the CRCP, a person with a disability means a person** who has a long-term or recurring physical, mental, sensory, psychiatric or learning disability (e.g. diabetes, epilepsy, anxiety disorder), **and**

   (a) **who** considers herself/himself/themself to be disadvantaged in employment by reason of that disability, **OR**

(b) **who** believes that an employer or potential employer is likely to consider them to be disadvantaged in employment by reason of that disability.

Based on this description, are you a Person with a Disability?

☐ Yes

☐ No

3. **For the purposes of CRCP, are you an Aboriginal/Indigenous person (First Nation (Status or Non-Status), Metis or Inuit)?**

☐ Yes

☐ No

4. **For the purposes of CRCP, a "member of a visible minority"** (racialized) **means** a person other than an Aboriginal person, who identifies as non-Caucasian or non-white in colour, regardless of the place of birthplace or citizenship. Persons in this category identify as Black, Asian (e.g., Chinese, Japanese, Korean), South Asian/East Indian (e.g., Bangladeshi, Pakistani, Indian), South East Asian (e.g., Burmese, Cambodian, Filipino, Kampuchean, Laotian, Malaysian, Thai, Vietnamese, Indonesian), West Asian (e.g., Iranian, Lebanese, Afghan), Arab, Non-white Latin American and/or mixed origin.

Based on this description, are you a "member of a visible minority"?

☐ Yes

☐ No

5. **(For current Chairholders only)This is a strictly confidential survey. If you have identified as being a designated group member in any of the four designated groups, can the Equity Office contact you for the purposes of relevant equity initiatives?**

☐ Yes

☐ No

Please provide your email address if you have agreed to be consulted by the Equity Office:

_____

Appendix II outlines the processes related to use of flex moves (II.1), CRC recruitment (II.2), and CRC renewals (II.3).

II.1 FLEX MOVES

Faculties should follow the process below in order to request or reverse a flex move:

Step	Timing	Responsibility	Action
Apply equity lens	Prior to requesting flex move/advertising a CRC position	Faculty	Apply an equity lens to ensure that members of the FDG would not be disadvantaged by changing the original allocation
Contact Office of Research	Prior to advertising a CRC position	Faculty	Request a change from the original allocation (split of Tier 1 into two Tier 2s or merging two Tier 2s into a Tier 1 or change Agency)
Internal review	Upon receipt of request	Internal CRC Review Committee	Review request including consideration of impact to the FDG
TIPS review	Upon Internal CRC Review Committee approval	Office of Research	Forward request to Tri-Agency Institutional Programs Secretariat for approval
Faculty notified of decision	Upon final approval	Office of Research	Notify Faculty of final decision and update public accountability website
Advertise position	Upon final approval	Faculty	Advertise Chair position
Reverse flex move	As soon as possible	Faculty/Office of Research	Revert back to the initial allocation as soon as possible

II.2 CRC RECRUITMENT

CRC recruitment committees will use the following process (consistent with the principles and safeguards embodied in our existing tenure-track hiring practices (i.e. Policy 65, Policy 76)) to recruit new CRC nominees.

CRC Recruitment/Selection	
Definition:	Using a CRC as a tool to draw exceptional external and internal applicants to Waterloo.
Step:	Actions:
1. Contact Equity Office/use Equity checklist throughout the selection process	Throughout the process, engage the **Equity Office** to complete the Equitable Recruitment of CRC Nominees Equity Checklist[1] to ensure a fair, transparent recruitment and nomination process.
2. Complete/confirm equity training	Contact the Equity Office to schedule/confirm equity training for all individuals involved in the chair recruitment/selection process. Select a CRC recruitment committee "equity champion", who will ensure that equity considerations are an integral part of the selection and hiring process. The equity champion will rotate among committee members from meeting to meeting.
3. Determine the strategic research area and evaluation criteria for the Chair	Decide what strategic area will be filled by the Chair position and the bona fide evaluation criteria that will be used to identify a nominee. These criteria should include experience in supporting equity initiatives.

	CRC Recruitment/Selection
4. Advertise the position and perform aggressive targeted outreach	1. Draft an advertisement outlining the opportunity and the evaluation criteria that will be used to select a nominee[2]. 2. Consult the **Equity Office** to confirm that the advertisement meets CRCP requirements. 3. Send a copy of the advertisement to the Office of Research (sarah.lau@uwaterloo.ca)for posting/archiving. 4. Post the final advertisement as per UW hiring policies/guidelines, advertising as widely as possible and targeting sites related to academics from the FDG to obtain a diverse pool of candidates.
5. Select the nominee	1. Follow all CRC hiring practices and policies. Evaluate the candidates using the evaluation criteria developed in Step 3. If the hire is contingent on approval of the CRC nomination, discussions with selected nominees should clearly convey that final approval is contingent on the CRCP external review and approval. 2. For nominees from outside Canada, consult the CRC Guidelines on Foreign Nominations.
6. Put forward the nomination	1. Once a nominee has been selected, complete the Internal Nomination Form[3], including required attachments, and submit to the Office of Research. 2. The Office of Research will confirm that equity guidelines, including aggressive recruiting of members of the FDG, have been followed. 3. Nominations compliant with equity guidelines will be forwarded to the Internal CRC Review Committee for approval of submission to the CRCP based on an assessment of : • alignment with Waterloo's strategic priorities and institutional efforts to meet our FDG goals for Chairholders; and • the quality of the nominee and the nomination package.

[1] The Equity Office has developed a checklist (available from the Equity Office) to guide the CRC recruitment committee through the recruitment/selection process. Please work with the Equity Office throughout the recruitment/selection process.

[2] The Equity Office has developed guidelines to ensure that advertisements for CRC positions comply with CRC Program requirements (available from the Equity Office).

The Internal Nomination Form can be found on the Office of Research webpage.

II.3 CRC RENEWALS

Faculties should follow the steps below to renew a Chairholder:

Step	Timing	Responsibility	Action
Create Chairholder-specific renewal criteria	Once a first term nominee has been selected	Academic unit head/nominee	Use general principles to establish renewal criteria
	Once draft criteria developed	Internal CRC Review Committee	Review criteria, applying an equity lens to ensure criteria are not unintentionally biased
Communicate Chairholder-specific renewal criteria	By first term Internal Nomination Form submission deadline	Chairholder/academic unit head/Dean	Include criteria as an attachment to Internal Nomination Form

	When initial CRC approved	Office of Research	Send confirmation of criteria to nominee, academic unit head, and Dean
	Annual/biennial performance reviews	Academic unit head	Review criteria and progress with Chairholder
Notification of potential upcoming renewal	~ 18 months before term end date	Office of Research	Notify Chairholder, academic unit head, and Dean of relevant deadlines for potential renewal
Prepare case for renewal	12-18 months before term end date and prior to the Internal Nomination Form submission deadline	Chairholder	Keep in mind the criteria and submit report and/or present to Faculty Evaluation Committee, providing the following information: • progress report outlining successes from the initial term and "value added" of the proposed Chair to the university strategic research plan; • proposed research plan for renewal term; • a current CV; • names and contact information of at least three independent (arms-length) reviewers, with whom the evaluation committee may consult; and • any circumstances affecting research productivity
	12-18 months before term end date and prior to the relevant Internal Nomination Form submission deadline	Faculty evaluation committee[1]	Use renewal criteria to evaluate Chairholder Complete and submit internal nomination form
	Upon receipt of the Internal Nomination Form	Internal CRC Review Committee	Review renewal request based on: • the recommendation of the Faculty Evaluation Committee • the quality of the nominee and nomination package • alignment with renewal criteria, Waterloo's strategic priorities and institutional efforts to meet our FDG goals for Chairholders
Prepare Renewal Application	Prior to CRCP deadline	Chairholder/Office of Research	If approved, prepare and submit renewal nomination

[1] The committee or individuals involved in reviewing renewals are determined by each Faculty.

Renewal criteria

Excellence comes in many forms, and the metrics discussed below are by no means exhaustive. Though these metrics have always been taken into account, they have now been made explicit in this transparent framework.

Committee members should give careful consideration to, and be sensitive to the impact of, personal circumstances when assessing the nominee's research productivity. This can include, but is not limited to, the following examples: career interruptions or slow-downs (e.g. maternity, parental, or sick leaves, pregnancy, eldercare, etc.); publication delays (e.g. to protect intellectual property); research in an emerging field or interdisciplinary research; and intellectual leadership activities. Waterloo's Equity Office will provide training to those involved in developing CRC renewal criteria and to members of Faculty Evaluation Committees reviewing renewal requests. For more information, please see the [CRC Program Guidelines for Assessing Productivity of Nominees](#).

In order to be nominated for renewal, CRCs must have met all the criteria of the 'renewal plan' established at the start of their initial term. They must also have demonstrated an ability to establish an outstanding, world-class research program that builds on the accomplishments of the initial term (Tier 1), or have made progress toward becoming an outstanding researcher of world-class caliber (Tier 2).

All CRCs will be academics of stellar reputation, demonstrating academic and research leadership appropriate to their discipline and Tier. Leadership can take many forms, including but not limited to, participating in university committees or other strategic endeavors that positively impact a broad audience. It can also include creating research centres/institutes; outreach to stakeholder groups; advocating for policy improvements; leading multi-PI grants; writing books or manuals; communicating research results internally and externally; and providing mentorship to junior faculty and/or graduate students. CRCs are also expected to demonstrate leadership that promotes equitable conditions for all to succeed by:

- fostering a supportive climate – valuing equity, diversity and encouraging work/life balance; and

- addressing under-representation of designated groups by supporting and promoting equity considerations.

Potential metrics, subject to discipline norms

Category	Tier	Details	Potential metrics (subject to disciplinary norms)
Excellence of Researcher	Tier 1	Should be acknowledged as doing world-class, innovative research by arms-length international leaders in their field.	• Consistent record of high quality research published in high impact, peer-reviewed journals and/or conference proceedings
	Tier 2	Should be emerging world-class researchers who have demonstrated creativity in a particular research field.	• Early career awards and Prizes (e.g. Ontario Early Researcher Awards; Scientific Society Young Investigator Awards)
	Tier 1 / Tier 2	World-class (Tier 1) or emerging world-class (Tier 2) researchers demonstrating academic leadership	• Active participation as an academic citizen ○ accepting invitations to speak at leading conferences ○ serving as external examiners on PhD defenses at other universities ○ refereeing important papers or participating on editorial boards of journals ○ performing administrative roles in academic societies, ○ adjudicating significant awards or grant proposals • Receiving prestigious research awards

			• Citation counts or other use or mention of research results
Record of research results / dissemination	Tier 1	Should be recognized by their peers as international leaders in their field(s).	• Invited lectures at international conferences, particularly keynote addresses • International grants and prizes • Invitations to serve on expert panels (grant review; government advisory; University program review) in and outside of Canada.
	Tier 2	Should have demonstrated the potential to achieve international recognition in their field(s) in the next five to ten years.	• International meetings attended and talks given • International collaborations established
Training record	Tier 1	Should have a superior record of attracting and supervising graduate students and Postdoctoral fellows, as evidenced by a continuous record of supervision at multiple levels.	• Overall numbers of graduate student and PDF trainees • Trainees have obtained scholarships, awards and prizes (particularly external ones) • Trainees have published and/or given conference presentations (differentiating between M.Sc., Ph.D. and PDF) • Some trainees have successfully completed their programs and are pursuing further studies or have found suitable employment
	Tier 2	Should have demonstrated the ability to attract and retain excellent trainees.	