

SENATE

MONDAY 29 January 2024

3:30 P.M. EST

NH 3407 / Zoom

[Governing Documents and Resources](#)

TIMING	AGENDA ITEM	PAGE	ACTION
	OPEN SESSION		
3:30 p.m.	1. Territorial Acknowledgement (Mark Giesbrecht, Dean of Mathematics)	Oral	
	2. Conflict of Interest	Oral	Declaration
	3. Approval of the Agenda, and Approval of the Consent Agenda To approve the agenda as presented/amended, and to approve or receive for information the items on the consent agenda, listed as items 15-19 of the Senate agenda.	Oral	Decision
	4. Minutes of the 27 November 2023 Meeting To approve the minutes of the 27 November 2023 meeting as distributed/amended.	5	Decision
	5. Business Arising from the Minutes	Oral	Input
	6. Senate Work Plan	9	Information
3:40 p.m. (30 mins)	7. Report of the President a. President's Update	Oral	Information
4:10 p.m. (15 mins)	8. 2023 Annual Report, Office of the Vice-President, Research and International	11	Discussion
4:25 p.m. (15 mins)	9. Faculty Update Presentation – Environment (Bruce Frayne)	Oral	Information
4:40 p.m. (5 mins)	10. Approval of Membership to Senate Committees and Councils To elect Nasser Abukhdeir to the Senate Long Range Planning Committee as the member from the Board of Directors of the Faculty Association of the University of Waterloo, term to 30 April 2024.	27	Decision
4:45 p.m. (5 mins)	11. Report – Senate Graduate & Research Council a. Dissolution of the Survey Research Centre (SRC) To approve the dissolution of the Survey Research Centre (SRC), as presented)	29	Decision

TIMING	AGENDA ITEM	PAGE	ACTION
4:50 p.m. (10 mins)	12. Reports – Senate Undergraduate Council		
	a. Major Modifications – Computer Engineering and Electrical Engineering To approve the creation of the Quantum Engineering Specialization in (1) the Computer Engineering plan and in (2) the in the Electrical Engineering plan, effective 1 September 2024, as presented.	31	Decision
	b. Major Modifications – Nanotechnology Engineering To approve the creation of a Nanoelectronics Specialization, Nanobiosystems Specialization, Nanofabrication Specialization, and Nanomaterials Specialization within the Nanotechnology Engineering plan, effective 1 September 2024, as presented.	35	Decision
	c. Major Modifications – Planning Honours To approve the following major modifications in Planning Honours: the creation of the Social Planning and Community Development Specialization; revisions to the Environmental Planning and Management Specialization, the Land Development Planning Specialization, and the Urban Design Specialization; and the inactivation of the Decision Support and Geographical Information Systems Specialization, effective 1 September 2024, as presented.	39	Decision
5:00 p.m. (15 mins)	d. Inactivation – Global Experience Certificate To approve the inactivation of the Global Experience Certificate, effective 1 September 2024, as presented.	47	Decision
	13. Report of the Vice-President, Academic and Provost		
	a. Revisions to Institutional Quality Assurance Process (IQAP) To approve the revisions to the Institutional Quality Assurance Process (IQAP), as presented.	51	Decision
5:15 p.m. (20 mins)	b. Briefing Note – Undergraduate and Graduate Admissions Data	113	Information
	c. Report – University Committee on Student Appeals Annual Report (Policy 72)	125	Information
5:15 p.m. (20 mins)	14. Amendments to University Policies		
	a. Recommended Amendments to Policy 76, Faculty Appointments, and to Policy 77, Tenure and Promotion of Faculty Members To approve the proposed revised Policy 76 – Faculty Appointments and the proposed revised Policy 77 – Tenure and Promotion of Faculty Members effective 1 September 2024, in accordance with the agreed terms between the Faculty Association of the University of Waterloo (“FAUW”) and the University of Waterloo, and as described in this report; And to recommend that the Board of Governors give final approval to the same proposed revisions withthe same effective date.	129	Decision

TIMING	AGENDA ITEM	PAGE	ACTION
5:35 p.m. (5 mins)	<p>Consent Agenda <i>Motion: To approve or receive for information the items on the consent agenda, listed as items 15-19 of the Senate agenda</i></p> <p>15. Report – Senate Graduate & Research Council 177 Information</p> <p>16. Report – Senate Undergraduate Council 179 Information</p> <p> a. Regulation Revisions – Academic Considerations and Accommodations 181 Decision To approve the proposed academic regulation revisions for the “University Policies, Guidelines and Academic Regulations, Assignments, Tests, and Final Exams, Accommodations” section of the Undergraduate Studies Academic Calendar, effective for the 2024-2025 Calendar, as presented.</p> <p> b. Regulation Revisions – Invalid Credential Combinations 193 Decision To approve the proposed academic regulation revisions to the Invalid Credential Combinations section of the Undergraduate Studies Academic Calendar for (i) the Diploma of Excellence in Geographic Information Systems, and (ii) the Diploma in Sustainability, and Sustainability and Financial Management, Honours, as presented and effective 1 September 2024.</p> <p> c. Regulation Revision – Faculty of Environment, Overview of Co-op Plan Requirements 195 Decision To approve the proposed academic regulation revisions for the “Overview of Co-op Plan Requirements” of the Faculty of Environment, as presented and effective 1 September 2024.</p> <p> d. Regulation Revision – Faculty of Environment, Repeat Course Rule 197 Decision To approve the proposed academic regulation revisions for the Faculty of Environment’s Repeat Course Rule, effective 1 September 2024, as presented.</p> <p>17. Report – Senate Long Range Planning Committee 199 Information</p> <p>18. Report – Vice-President, Research & International – Awards, Distinctions, Grants, Waterloo International Engagements 201 Information</p> <p>19. Report of the Provost – Faculty Appointments, Leaves 209 Information</p> <p>20. Other Business Oral Input</p>		
5:40p.m.	<p>CONFIDENTIAL Senators, Vice-Presidents, Secretariat and Technical Staff as required</p> <p>21. Minutes of the 27 November 2023 Meeting 211 Decision To approve the minutes of the 27 November 2023 meeting as distributed/amended.</p>		

TIMING	AGENDA ITEM	PAGE	ACTION
	22. Business Arising from the Minutes	Oral	Input
	23. Report of the President	Oral	Information
5:45p.m. (5 mins)	24. Reports of the Honorary Degrees Committee a. Distinguished Professor Emeritus/a Candidates b. Honorary Member of the University Candidates	213 221	Decision Decision
5:50p.m. (5 mins)	25. Report to Senate from the Dean of Health Nominating Committee NB: report to be distributed separately, directly to Senators ahead of the meeting		Decision
	26. Other Business		
	27. Adjournment	Oral	Input

22 January 2024

Mike Grivicic
Associate University Secretary to
Senate

Important Dates

6 February 2024	Board of Governors Meeting
4 March 2024	Senate Meeting
8 April 2024	Senate Meeting

University of Waterloo
SENATE
Minutes of the Monday 27 November 2023 Meeting
[in agenda order]

Present: John Abraham, Nasser Abukhdeir, Sheila Ager, Marc Aucoin, Lisa Aultman-Hall, Aubrey Basdeo, Jean Becker, Jeff Casello, Judy Castaneda, Trevor Charles, Joan Coutu, Kim Cuddington, Laura Deakin, Charmaine Dean, Catherine Dong, Aiman Fatima, Mark Ferro, Paul Fieguth, Wendy Fletcher, Bruce Frayne, Murray Gamble, Genevieve Gauthier-Chalifour (Secretary), Mark Giesbrecht, Vivek Goel (Chair), Rob Gorbet, Kelly Grindrod, Mike Grivicic (Associate Secretary), Vikas Gupta, David Ha, Peter Hall, Kevin Hare, Neela Hassan, Chris Houser, Natalie Hutchings, Nadine Ibrahim, Narveen Jandu, Martin Karsten, Acey Kaspar, Veronica Kitchen, Scott Kline, Alysia Kolentsis, Christiane Lemieux, Lili Liu, Brad Lushman, Shana MacDonald, Ellen MacEachen, Blake Madill, Colleen Maxwell, Peter Meehan, Kristiina Montero, Cathy Newell Kelly, Rory Norris, James Nugent, Troy Osborne, David Porreca, Luke Potwarka, Cynthia Richard, Mary Robinson, James Rush, John Saabas, Labibah Salim J Ali, Rida Sayed, Asher Scaini, Marcus Shantz, Siva Sivoththaman, James Skidmore, Christopher Taylor, Sharon Tucker, Graeme Turner, Diana Vangelisti, Dan Weber, Stanley Woo, Clarence Woudsma

Guests: Aldo Caputo, Nenone Donaldson, Bernard Duncker, Donna Ellis, Jenny Flagler-George, Barbara Forrest, Sarah Hadley, Andrea Hagedorn, Julie Joza, Andrea Kelman, Jennifer Kieffer, Nick Manning, Christine McWebb, Norah McRae, Ian Milligan, Fayaz Noormohamed, Nicholas Pfeifle, Chris Read, Karl Schuett, Daniela Seskar-Hencic, Brandon Sweet, Sarah Willey-Thomas, Tim Weber-Kraljevski, Katy Wong-Francq

Absent: Dominic Barton*, Jack DeGooyer, Kristine Dalton, David DeVidi*, Sonia Ismail, Achim Kempf, Xianguo Li, Jennifer Lynes Murray, Stephanie Maaz, Carol Ann MacGregor, Ceileigh McAllister, Richard Myers, Christopher Nielsen*, Erin O'Connell*, Beth Sandore Namachchivaya, Jacinda Reitsma*, Sivabal Sivaloganathan, Mary Wells*, Changbao Wu, Annie Yang
*regrets

OPEN SESSION

1. TERRITORIAL ACKNOWLEDGEMENT

Lili Liu offered a territorial acknowledgement along with a personal reflection.

2. CONFLICT OF INTEREST

Senators were asked to declare any conflicts they may have in relation to the items on the agenda. No conflicts were declared.

3. APPROVAL OF THE AGENDA, AND APPROVAL OF THE CONSENT AGENDA

A motion was heard to approve the agenda as presented, and to approve or receive for information the items on the consent agenda, listed as items 14-18 of the Senate agenda. Deakin and Hare. Carried.

4. MINUTES OF THE 23 OCTOBER 2023 MEETING

A motion was heard to approve the minutes as distributed. Woudsma and Casello. Carried.

5. BUSINESS ARISING FROM THE MINUTES

There was no business arising.

6. SENATE WORKPLAN

The chair indicated that one item has been added to the workplan (fall budget update) and observed that two items slated for the November meeting have been deferred to the January meeting (UCSA annual report, and admissions update). This item was received for information.

7. REPORT OF THE PRESIDENT

a. President's Update. Goel provided his report and offered the following:

- There continues to be heightened emotions and tensions around the conflict in the Middle East, and members of University administration have been engaged with groups impacted by the events and violence
 - o It is important for the institution to maintain a supportive, respectful and open environment for all members to safely express ideas and come together, while adhering to policies on ethical behaviour and free expression
 - o A task force will be formed in the near term to develop distinct principles to foster freedom of expression and respectful engagement
- The speaker series on antagonism and intimidation in academia is underway, with one talk completed and three more to come before the international conference on this topic that is scheduled for June 2024
- The province's Blue Ribbon Panel has provided its report, which includes recommendations to increase the tuition framework simultaneously with the provincial grant, among others recommendations
 - o The province has not provided any timeline for its response
 - o In this context, the provost's recently published op-ed on the financial challenges facing the sector was timely
- On 28 November, there will be a town hall event with regard to the University budget
- The federal government has indicated that the law will be amended such that postsecondary institutions are excluded from proceedings under the *Companies' Creditors Arrangement Act*

In response to questions, Senators were advised that students encountering/concerned about offensive speech on campus should reach out to administrators in their department/Faculty, and/or contact the Office of Equity, Diversity, Inclusion and Anti-Racism for support or to register a complaint. It was also noted that the campus environment aims to provide opportunities to engage in constructive dialogue on contentious issues, and that the search for the student ombudsperson has been launched with a view to operationalizing the office in early 2024. [Secretary's note: following the meeting, the University [announced](#) a new email address gethelp@uwaterloo.ca to expedite reporting of concerns]

8. FACULTY UPDATE PRESENTATION – MATHEMATICS

Mark Giesbrecht provided a presentation on the Faculty's initiatives and events, including: the Faculty boasts leading rankings among world comparators in several subject areas; new professional programs are under development as well as new research areas, with the latter highlighted by "Data + X" programs; departments, schools and teaching units are co-located and intentionally collaborative; the faculty complement includes numerous top researchers including Canada Research Chairs, dozens of disciplinary fellows and one officer of the Order of Canada; strong research partnerships, fostered by the establishment of the Math Innovation Office in 2020; entrepreneurship is encouraged and the Faculty supports the development of start-up and student-led entrepreneurship; strong teaching and pedagogy, with a common core across mathematics, computer science and statistics and resources devoted to supporting teaching enhancement; the Faculty is transitioning from a five-year strategic plan to a strategic framework; role of CEMC is supporting teaching excellence and innovation.

9. APPROVAL OF MEMBERSHIP TO SENATE COMMITTEES AND COUNCILS

A motion was heard to elect Nicholas Pellegrino as a member of Senate Graduate & Research Council, term to 30 April 2025, as described in the report. Casello and Sivoththaman. Carried.

10. REPORT – SENATE GRADUATE & RESEARCH COUNCIL

Casello provided an overview of items (a)-(c).

a. Major Program Modification for Master of Accounting (MAcc)

A motion was heard to approve the addition of a part-time registration option for the Master of Accounting program, effective 1 January 2024, as presented. Casello and Woudsma. Carried.

b. Major Program Modification for Master of Taxation (MTax) – Co-operative Program

A motion was heard to approve the addition of a direct entry Co-operative program/option for the Master of Taxation program, effective 1 January 2024, as presented. Casello and MacEachen. Carried.

c. Major Program Modification for the Doctor of Philosophy (PhD) in Vision Science and Master of Science (MSc) in Vision Science

A motion was heard to approve the revisions to the Graduate Research Fields for the PhD and MSc in Vision Science, effective 1 September 2024, as presented. Casello and Houser. Carried.

11. JOINT REPORT – SENATE GRADUATE & RESEARCH COUNCIL, AND SENATE UNDERGRADUATE COUNCIL

a. Class Components Definitions

Casello gave a short overview of the report, and members clarified that practicum requirements are different within graduate studies compared to the undergraduate level. A motion was heard to approve the adoption of the new Class Components Definitions for the Undergraduate Studies Academic Calendar and the Graduate Studies Academic Calendar, effective January 1, 2024, as presented. Casello and Dong. Carried

12. SENATE FINANCE COMMITTEE: CONTINUATION OF REPORT FROM OCTOBER 2023 SENATE MEETING

Rush spoke to the new University Financial Accountability Framework and noted the following: the framework is under development and the University sector has been engaged with the province in providing feedback; purpose of the framework is to conduct additional monitoring and assessment of the financial health of Ontario universities, and in some cases to require follow up actions; a technical manual was released by the province in October 2023, with eight defined financial metrics (along with the institution's credit rating) to assess the financial health of a university; as at 30 April 2023, the University of Waterloo is measuring well against the announced metrics and is also developing processes to proactively assess the impact of changes to the operating budget on the financial health metrics.

Fieguth presented on the Waterloo Budget Model and noted the following: key objective to identify guiding principles for budget modelling with attention to transparency, efficiency and migrating to a paradigm of integrated planning; aiming to make improvements to data supports for budget planning; anticipate coordination between the Budget Office (which is to be formed) and the Faculties/ASUs; aiming to have the budget model in place for the 2025-26 fiscal year, and currently making efforts to finalize templates and processes to support integrated planning. In response to questions, it was clarified that compared to previous models, the new budget model will be more reflective of actual cost realities, while also being rooted in an improved data set.

13. AMENDMENT TO FACULTY CONSITUTION

a. Proposed Amendments to the Constitution and By Laws Of The Faculty Council

Goel observed that the covering report highlights the continued need for the Faculty to request an exception to Policy 45 to add one additional faculty member to decanal nominating committee, if the Faculty is to utilize its approved process for selecting those members, and that this will be the case until said policy may be amended in the future (the provost plans to raise this item at an upcoming meeting of the Faculty Relations Committee). Chris Houser provided an overview of the documents, noting that these have not been updated in 30 years and serve to formalize practices that have evolved over time in the Faculty. Members provided a minor correction to the documents put forward for approval to update the name of Co-operative and Experiential Education. One member inquired as to the reasoning for the reduction in student representation on the Faculty Council; Houser indicated that the Faculty is building alternate processes to best engage with students, and will liaise further directly with the senator following the meeting. A motion was heard to approve the amendments to the Constitution and By Laws of the Science Faculty Council as presented. Houser and Deakin. Carried, with one opposed and four abstaining.

CONSENT AGENDA

The consent agenda was approved under item 3, with items approved or received for information.

14. REPORT – SENATE GRADUATE & RESEARCH COUNCIL

a. Regulation Revisions to the Graduate Studies Academic Calendar

Motion: That Seante approve the regulation revisions to the Graduate Studies Academic Calendar (GSAC), effective 1 January 2024, as presented.

15. REPORT – SENATE UNDERGRADUATE COUNCIL

Received for information.

16. JOINT REPORT – SENATE GRADUATE & RESEARCH COUNCIL, AND SENATE UNDERGRADUATE COUNCIL

a. Academic Calendar Dates for 2024-25

Motion: That Seante approve the 2024-2025 academic calendar dates and calendar guidelines for establishing academic dates, as presented.

17. REPORT – VICE-PRESIDENT, RESEARCH & INTERNATIONAL - AWARDS, DISTINCTIONS, GRANTS, WATERLOO INTERNATIONAL ENGAGEMENTS

Received for information.

18. REPORT OF THE PROVOST – FACULTY APPOINTMENTS, LEAVES

Received for information.

19. OTHER BUSINESS

With no further business in open session, Senate convened in confidential session.

15 December 2023
MG/dg

Mike Grivicic
Associate University Secretary to
Senate

Senate Agenda Items · expected *as needed	15 May 2023	19 June 2023	18 September 2023	23 October 2023 <i>Strategic Plan Annual Update / Waterloo at 100</i>	27 November 2023	29 January 2024	4 March 2024	8 April 2024
REGULAR AGENDA (including items for information and discussion)								
Minutes	·	·	·	·	·	·	·	·
Business Arising	·	·	·	·	·	·	·	·
LEADERSHIP UPDATES⁶								
Report of the Vice-President, Academic & Provost	*	*	*	*	*	*	*	*
Report of the Vice-President, Research and International	*	*	*	*	*	*	*	*
COMMITTEE/COUNCIL REPORTS								
Executive Committee	*	*	*	*	*	*	*	*
Graduate & Research Council (GRC)	·	·	·	·	·	·	·	·
Undergraduate Council (UC)	·	·	·	·	·	·	·	·
Long Range Planning Committee				·		·		·
Fall Update, University Operating Budget				·				
Joint Report of GRC & UC, Academic Calendar Dates ¹					·			
University Committee on Student Appeals Annual Report ¹ (Policy 72)					·			
University Appointment Review Committee Annual Report ¹ (Policy 76)								·
Finance Committee - Budget Update ³							·	
Finance Committee - Budget recommendation ^{2, 3}								·
OTHER SENATE AGENDA ITEMS								
New Senator Orientations (before meeting)	·							
Teaching Awards Committee							·	
Delegation of Roster of Graduands								·
Report of Roster of Graduands		·		·				
Convocation Report (CR&E) – summary of previous years' ceremonies								·
Undergraduate and Graduate Admissions Update						·		
Conduct Self-Assessment Survey ¹							·	
SENATE PRESENTATIONS								
Presentations from the Presidents of the Faculty Association, Waterloo Undergraduate Association and Graduate Student Association ¹							·	
Strategic Plan Accountability Update ¹ (June)								
PART Annual Update		·						
Faculty Update (6x/year)			ENG	HLTH	MATH	ENV	ARTS	SCI

¹ Annual item

² Board of Governors approval

³ Presented by the Vice-President Academic and Provost

⁴ Presented by the President and Vice-Chancellor, and Chair of Senate

⁵ Presented by the University Secretary

⁶ Leadership updates may include such topics as: Talent, We Accelerate Report, Communities (EDI, Sustainability), Waterloo International, etc.

Senate Agenda Items	15 May 2023	19 June 2023	23 September 2023	23 October 2023 <i>Strategic Plan Annual Update / Waterloo at 100</i>	27 November 2023	29 January 2024	4 March 2024	8 April 2024
• expected *as needed								
CONSENT AGENDA								
Reports from Faculties (e.g., appointments, administrative appointments, sabbaticals) ²	•	•	•	•	•	•	•	•
Tenure and Promotion Report ⁴			•					
University Professor Designation ³							•	
Call for Nominations for University Professor ³			•					
Call for Nominations for Honorary Degree Recipients ⁴						•		
Report of the COU Academic Colleague ¹	•							
Senate Committee Appointments ⁵	*	*	•	*	*	*	*	*
CLOSED AGENDA								
Minutes	•	•	•	•	•	•	•	•
Business Arising	•	•	•	•	•	•	•	•
Reports from Committees and Councils	*	*	*	*	*	*	*	*
Honorary Degree Recommendations	*	*	*	*	•	•	*	*
Reports from Search and Review Committees for Policy-based Senior Leadership Appointments and Reappointments	*	*	*	*	*	*	*	*
Report of VP Advancement on Policy 7 ¹		•						

Joint SENATE/BOARD Strategic Plan Focus Sessions 3-4:30	Joint SENATE/BOARD Continuing Education Sessions 3-4:30
<ul style="list-style-type: none"> To be determined 	<ul style="list-style-type: none"> To be determined

Special Topics for 2023-2024 to be Scheduled:

- President's Anti-racism Task Force Update (PART)

For more information: secretariat@uwaterloo.ca
uwaterloo.ca/secretariat, NH 3060

¹ Annual item

² Board of Governors approval

³ Presented by the Vice-President Academic and Provost

⁴ Presented by the President and Vice-Chancellor, and Chair of Senate

⁵ Presented by the University Secretary

⁶ Leadership updates may include such topics as: Talent, We Accelerate Report, Communities (EDI, Sustainability), Waterloo International, etc.

For Discussion

Open Session

To: Senate**Sponsor:** Charmaine B. Dean, Vice President Research and International
Contact Information: vpri@uwaterloo.ca**Presenter:** Charmaine B. Dean, Vice President Research and International
Contact Information: vpri@uwaterloo.ca**Date of Meeting:** January 29, 2024**Agenda Item Identification:** 8. 2023 Annual Report, Office of the Vice-President, Research and International**Summary:**

Presenting the Vice-President, Research and International Report to Senate for the year 2023. This report to Senate highlights research, international and entrepreneurial program data, outputs and outcomes for 2023 across the thematic areas of: Research and Government Partnerships; International Collaboration; Research Excellence; Safeguarding Research; and Commercialization and Entrepreneurship.

Documentation Provided:

- Vice-President, Research and International Annual 2023 Report to Senate

2023 ANNUAL REPORT

OFFICE OF THE VICE-PRESIDENT,
RESEARCH AND INTERNATIONAL

UNIVERSITY OF WATERLOO



Research and Government
Partnerships p. 2



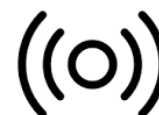
International Collaborations p. 4



Research Excellence p. 5



Safeguarding Research p.11



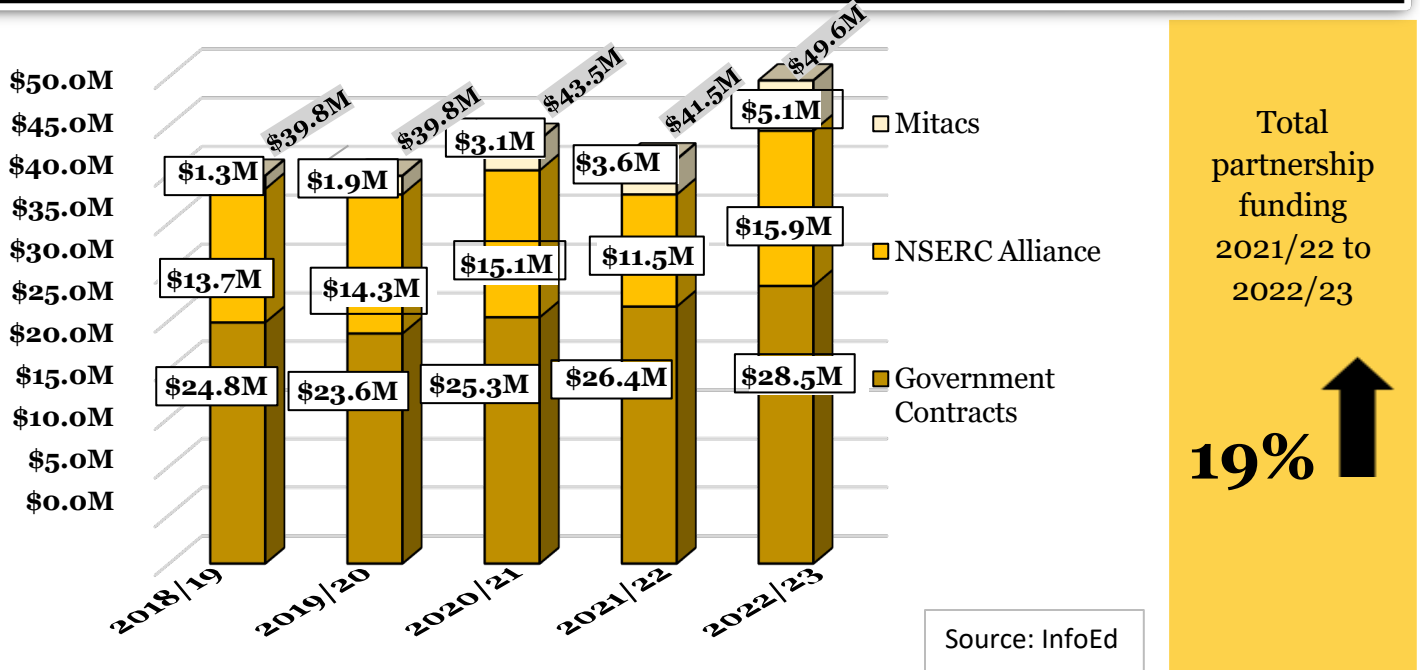
Commercialization and
Entrepreneurship p. 12

Research and Government Partnerships



DIVERSIFY AND EXPAND CORPORATE AND RESEARCH PARTNERSHIPS

Figure 1: University of Waterloo Partnership Funding



A total of **\$19.3 million** in new international grants and contracts awarded + **70** new research MOUs signed (marked in yellow on the map below)

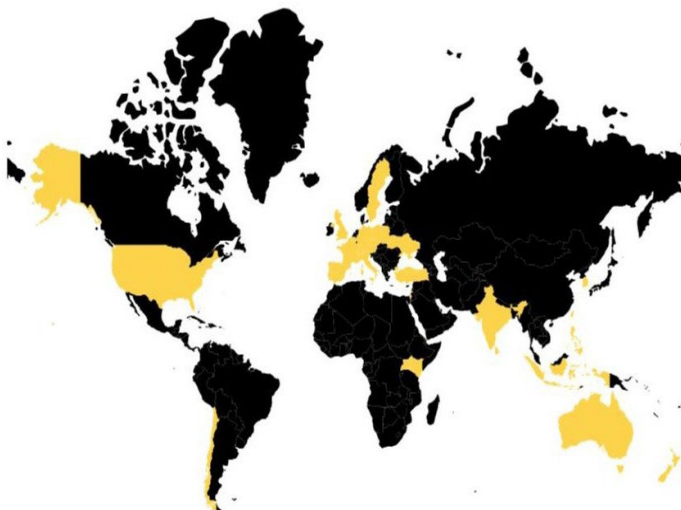
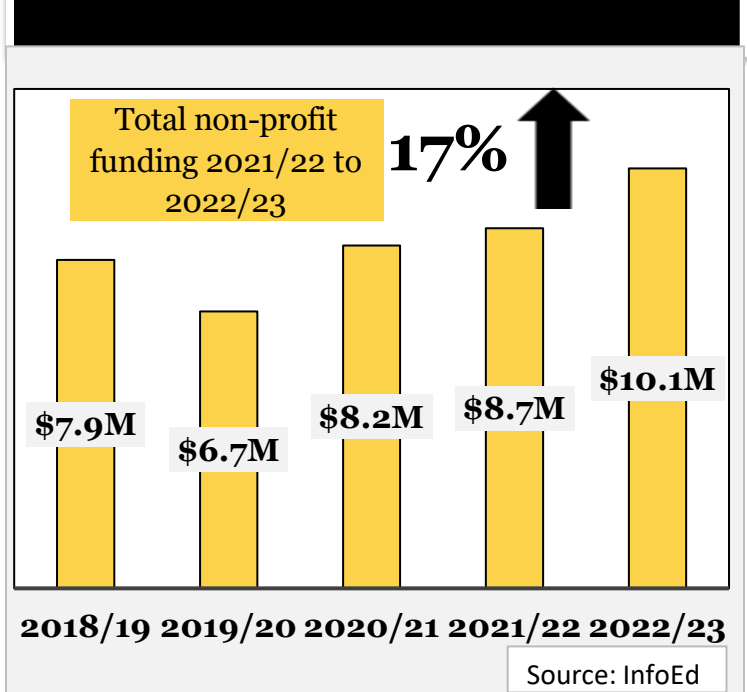


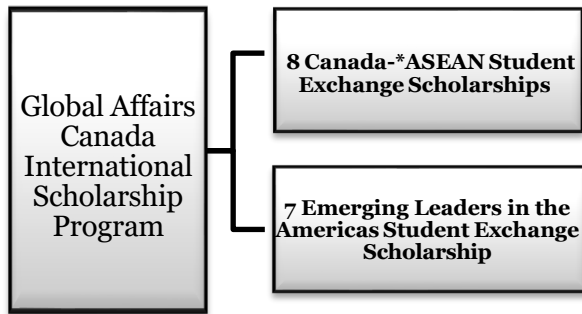
Figure 2: University of Waterloo Non-Profit Funding



Waterloo International



STRENGTHEN AND EXPAND INTERNATIONAL PARTNERSHIPS



*Association of Southeast Asian Nations

Co-ordination of International Education Week

Co-ordination of Global Skills Opportunities

Safety Abroad

5,158 people supported in 2023

Student Mobility Agreements

575	483	146
Outbound student exchanges	Inbound student exchanges	Students on Joint academic agreements

Waterloo International supported important meetings between Waterloo leaders and representatives of international universities, Canadian government missions abroad, and foreign governments' ministries, embassies, high commissions, and consulates. Those meetings took place in Waterloo and around the world in 23 different countries.



The VPRI also participated in eight Provincially led trade missions to Asia, Europe, India, South America and the United States.

Some of the 23 international countries engaged include the following countries:



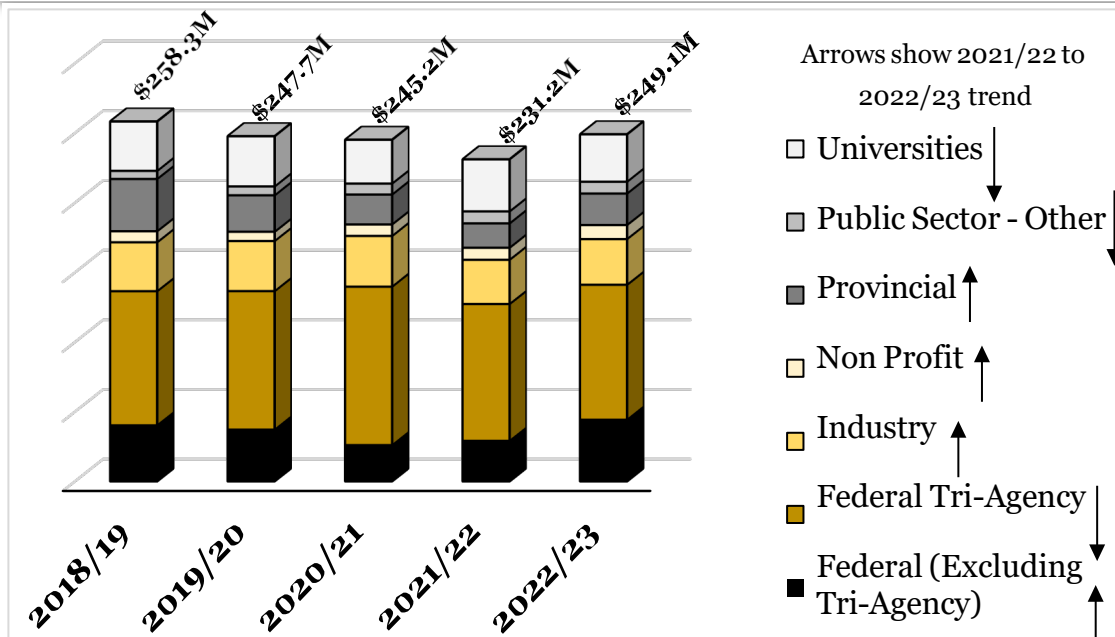
Research Excellence



ADVANCE AND PROMOTE RESEARCH EXCELLENCE

Ranked Canada's #1 Comprehensive Research University for 16 consecutive years by Research Infosource Inc. in Canada's Innovation Leaders 2023 publication.

Figure 3: University of Waterloo Total Research Funding

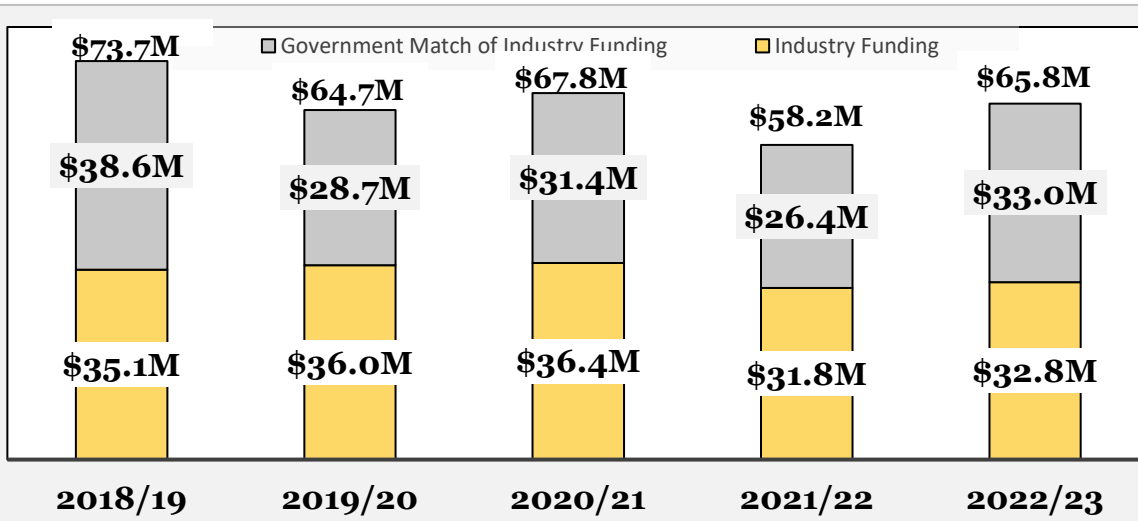


Total Waterloo research funding 2021/22 to 2022/23

8% ↑

Source: InfoEd

Figure 4: University of Waterloo Industry Funding Trend



Total Waterloo industry funding with government match 2021/22 to 2022/23

13% ↑

Source: InfoEd

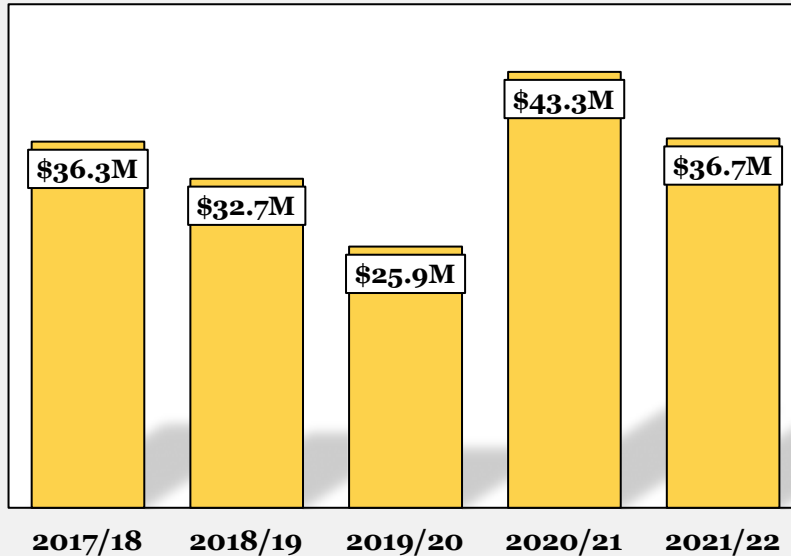
*only specific Gov't match programs – see data notes

Research Excellence



ADVANCE AND PROMOTE RESEARCH EXCELLENCE

Figure 5: University of Waterloo Health Technology



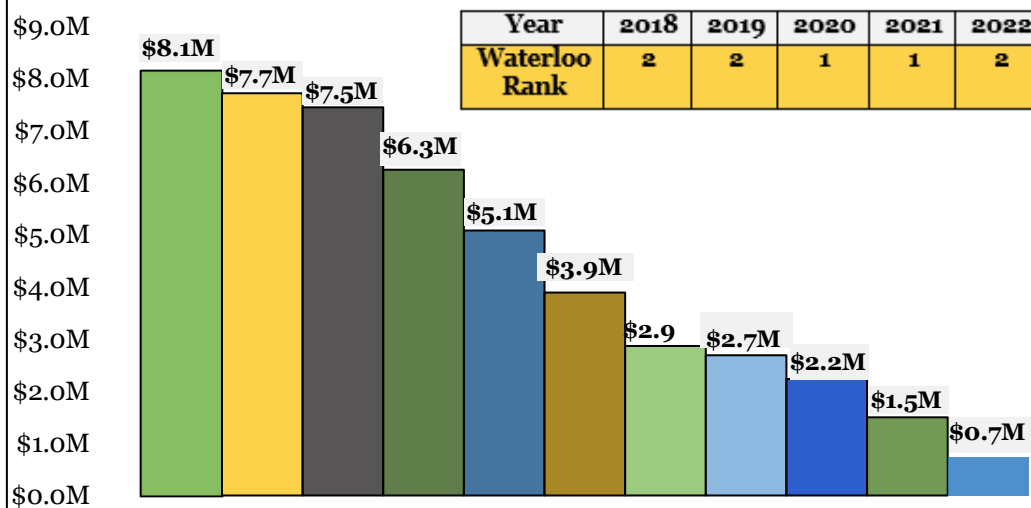
Source: See data note page

Health Research Highlights

- Signed agreement with Northern Ontario School of Medicine University
- Schlegel-UW Research Institute for Aging wins Research Canada 2023 Organization Leadership in Advocacy Award
- 10 Canada Biomedical Research Fund proposals developed
- 19 high impact health research media stories

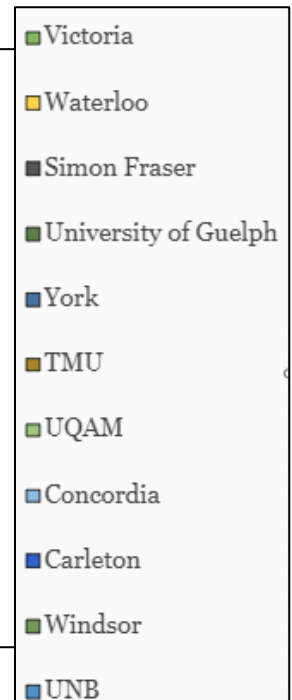
Selection of health impact studies

Figure 6: Comprehensive University CIHR Funding 2022/23



Source: CIHR Public database

Comprehensive- without a medical school



Research Excellence



ADVANCE AND PROMOTE RESEARCH EXCELLENCE

Figure 7: U15 NSERC Funding 2022/23

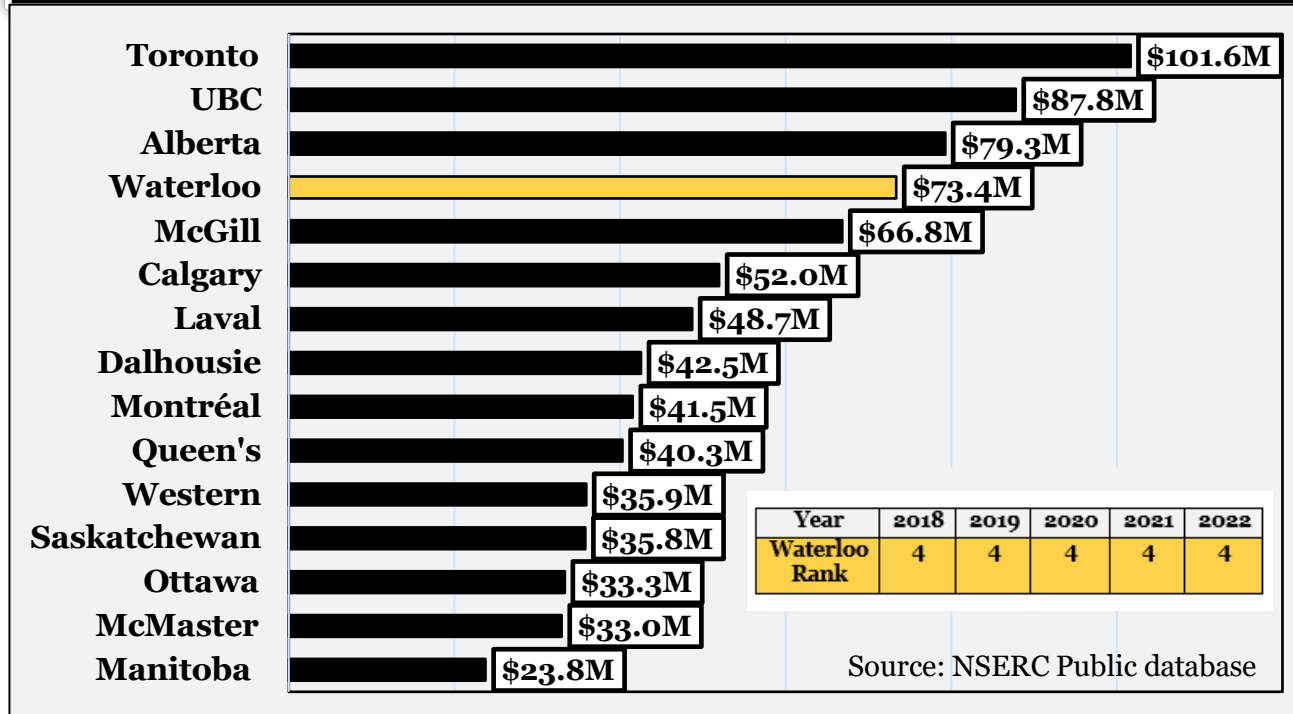
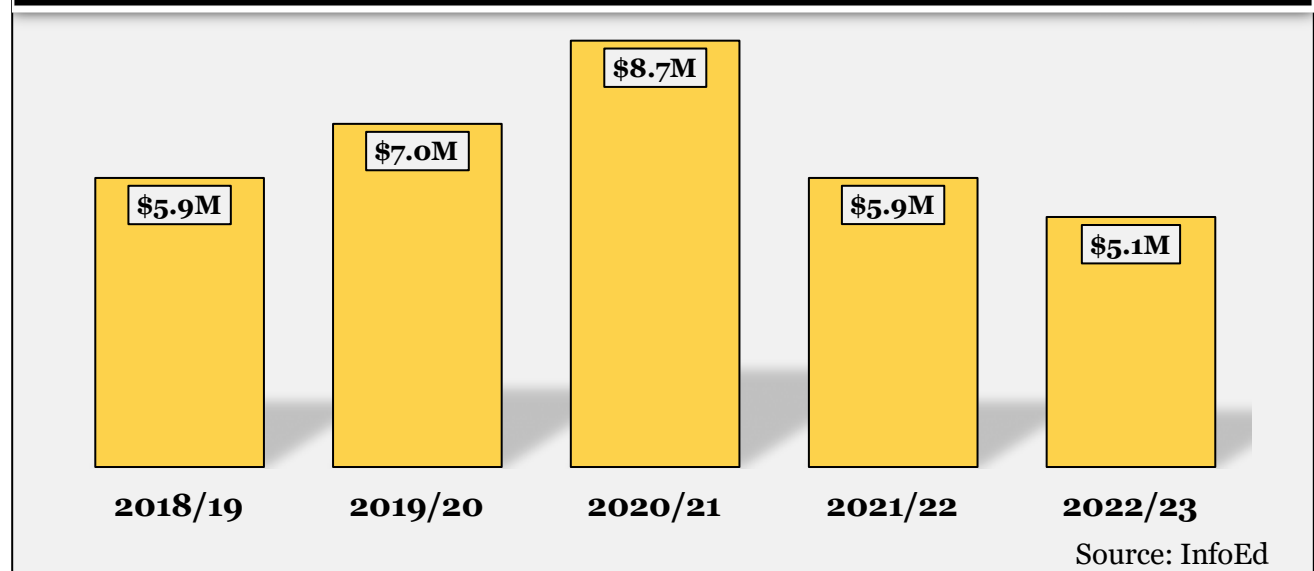


Figure 8: University of Waterloo SSHRC Funding



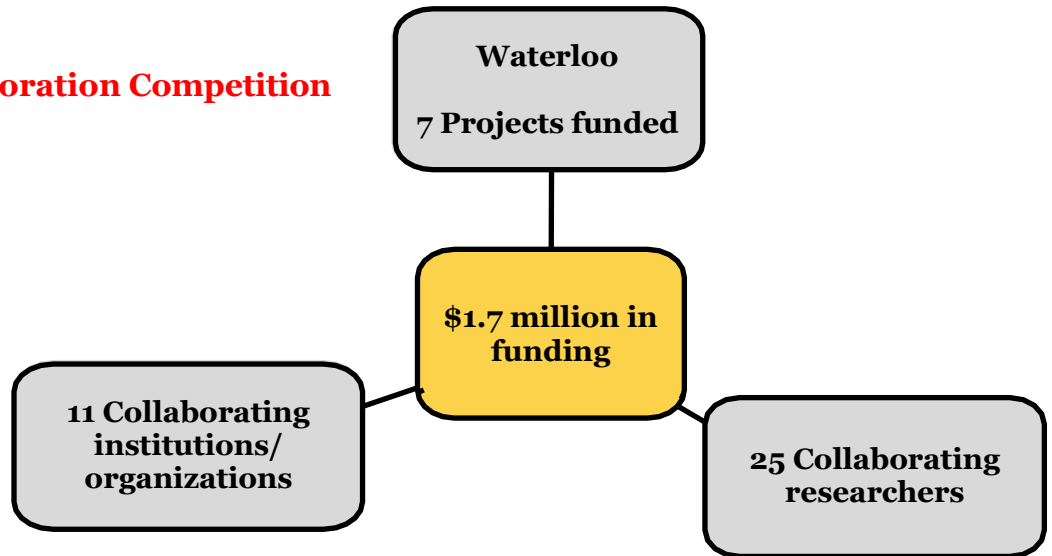
Research Excellence



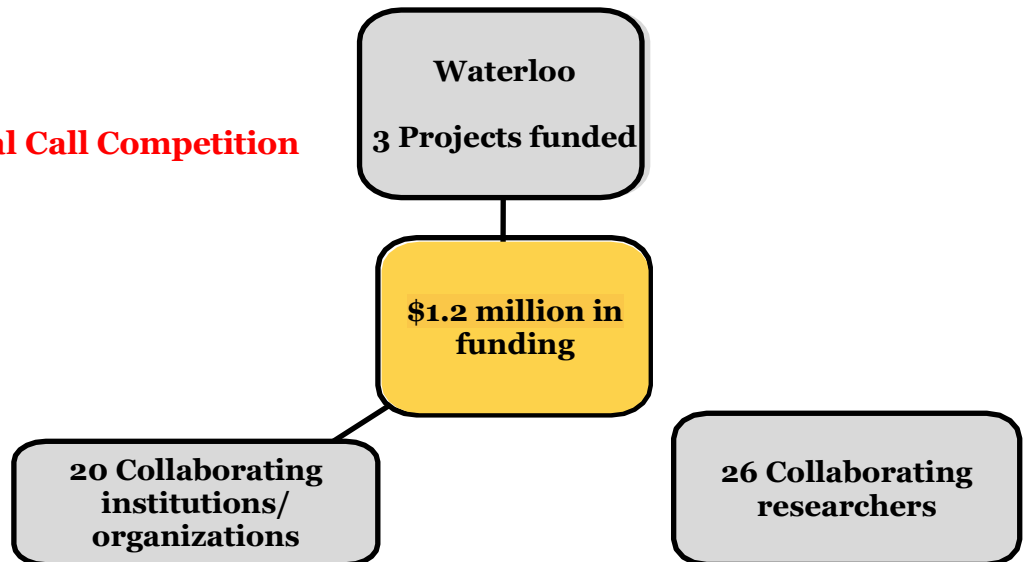
ADVANCE INTERDISCIPLINARY RESEARCH

New Frontiers in Research Funding (NFRF): world-leading interdisciplinary, international, high-risk / high-reward, transformative and rapid-response Canadian-led research.

NFRF 2022 **Exploration Competition**



NFRF 2022 **Special Call Competition**



Research Excellence



LEAD EQUITY, DIVERSITY AND INCLUSION IN RESEARCH INITIATIVES

Highlights

200+ consultations on research equity and Indigenous research

45+ training sessions at University, Faculty and project levels

100+ grant application reviews

- **Launched** Inclusive Research Resource Hub

Canada Research Chair Equity Diversity and Inclusion Targets

- Developed Chair allocation plan with the Faculties

Figure 9: University of Waterloo Proportion of CRCs as FDGs

Tier 1 Chairs	Dec.2023 percentage of current chairs	2025 Gov't targets *	2029 Gov't targets	<p>Waterloo did not meet our 2022 EDI targets but met the 2025 interim EDI targets except for Tier 1 Women chairs (-7%).</p> <p>We are working towards meeting the 2029 targets.</p>
Women Chairs	30.0%	37.0%	50.9%	
Racialized Chairs	30.0%	17.5%	22.0%	
People with a Disability	11.0%	5.3%	7.5%	
Indigenous Chairs	4.0%	2.3%	4.9%	
Tier 2 Chairs				
Women Chairs	48.0%	37.0%	50.9%	
Racialized Chairs	20.0%	17.5%	22.0%	
People with a Disability	10.0%	5.3%	7.5%	
Indigenous Chairs*	10.0%	2.3%	4.9%	

*2025 Gov't target may change

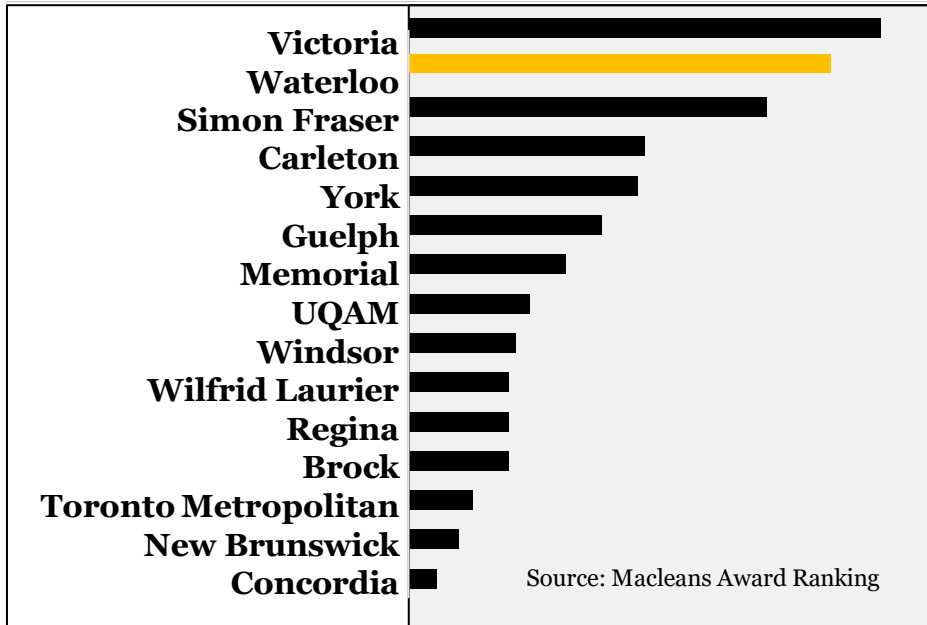
December 2023

Research Excellence



ADVANCE FACULTY AWARD ACHIEVEMENT

Figure 10: 2024 Faculty Award Ratio: Macleans Best Canadian Comprehensive Universities



Waterloo rank for Comprehensive Universities

Year	2022	2023	2024
Waterloo Rank	2	2	2

Figure 11: University of Waterloo Award Rank: Top 12 Universities in Canada (Top Rank=1)

University	2024 Rank	2023 Rank	2022 Rank	2021 Rank	2020 Rank
Toronto	1	1	1	1	1
McGill	2	2	2	3	3
Ottawa	3	3	7	7	10
Victoria	4	5	4	4	4
Dalhousie	5	7	6	5	8
Queen's	6	4	3	2	2
Waterloo	7	9	10	10	11
McMaster	8	6	5	9	9
Montreal	9	10	12	12	5
Alberta	10	8	8	8	5
SFU	11	12	10	11	12
UBC	12	10	9	6	7

Over a five-year period, Waterloo moved from 11th to 7th rank

Source: Macleans Award Ranking

Safeguarding Research



SAFEGUARD RESEARCH AND DIVERSIFY CORPORATE AND GOVERNMENT RESEARCH PARTNERSHIPS

Safeguarding Research Key activities 2023:

- Worked with **150+** researchers to develop grant related security risk mitigation plans.
- Actively engaged both the Federal and Provincial Government to advance university priorities and practices to help shape emerging, and increasingly complex, government regulatory regimes.
- Led Canadian and Ontario universities in protecting researchers and safeguarding science through such initiatives as the **U15** and **Ontario Council on University Research (OCUR)** Research Security Leading Practice Documents.
- Established an Ontario Community of Practice to communicate with government stakeholders, build capacity and share resources amongst member institutions.
- **Created online safeguarding research resource hub**
 - Including **research security and cybersecurity training modules**



REINFORCE WATERLOO'S DISTINCTIVE BRAND OF PRE-EMINENCE IN INNOVATION

Velocity

- **+2,000 students** engaged in the Velocity Pitch Competition | Cornerstone | Velocity Digital and Science programs.
- Record 100 applicants for the Fall 2023 Velocity Pitch Competition
- Velocity eco-system spans University of Waterloo Campus

Campus partners



Supporting and Promoting Student Entrepreneurs

Up-Start Program

- 20 teams in the program secured \$20,000 in Velocity seed funding.
- The teams completed four-month Velocity Cornerstone Program to develop marketing plan, customer interviews and IP strategies.
- Six teams gained paid customer pilots and/or purchase orders.
- The *Up-Start Program* was a pivotal program that helped Coastal Carbon secure \$1.6 million in seed funding from the Federal Ocean Supercluster Program (See impact story on page 13).

((o)) Impact Stories

AI Driven Sensors for Seaweed Measurement Project

Waterloo Alumni co-founders of **Coastal Carbon** use AI sensors to monitor seaweed growth to accelerate regenerative seaweed farming and ocean restoration, and scale blue carbon initiatives.

Blue carbon initiatives help protect coastal eco-systems for biodiversity, human well-being and climate change.



Kelly Zheng, Conrad School of Entrepreneurship and Business and Thomas Storwick, Faculty of Engineering

Three student Waterloo Velocity teams win 2023 hackathon challenge: *Imagining the Future of Finance*



Voffice - First place team members Henry Wang, Eric Zhang, Ryan Nguyen, Ian Korovinsky and Stephen Ni



Finquest - Second place team members Mahdi Raza Khunt, Silvia Ban, Ashin James, Zafar Erkinboev, Karmanbir Sing Batth



Fintopia- Josphe Scarfone has a team made of members from Environment, Math and Engineering.

((O)) Impact Story

Problem

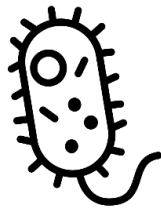
Over 30 million tonnes of plastic waste are in oceans and over 16% of dairy products (116 million tonnes) are discarded globally each year.

Solution

Proprietary bacteria that will cost effectively produce biodegradable plastic from organic waste (dairy lactose validation).

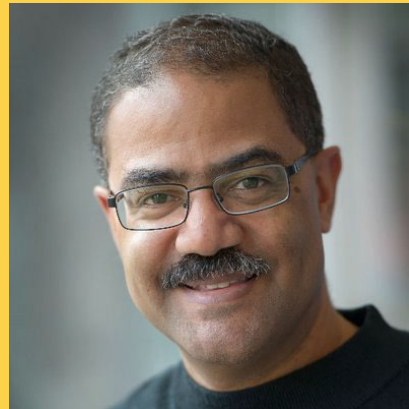
Applications

To decompose products such as packaging film, plastic bags, food containers, biofuels, plastic bottles, drug carriers, clothing, medical devices, 3D printing.



WatCo: Entrepreneur Success Story

Dr. Trevor Charles,
Professor of Biology
University of Waterloo



Eco-system support:

- Filed Canadian and U.S. patents
- Incorporated startup company
- Awarded Waterloo Ventures Up-Start Program \$15K
- Winner GreenHouse Social Impact Showcase \$5K
- Participated in Velocity Venture Ready Program
- Numerous prospective customer letters of intent to purchase bacteria.

VPRI ANNUAL PLAN DATA NOTES FOR FIGURES:

Figure 1: University of Waterloo Partnership Funding

Source: InfoEd funding data is from April 1 to March 31 each year.

Figure 2: University of Waterloo Total Non-Profit Funding

Source: InfoEd funding data is from April 1 to March 31 each year.

Figure 3: University of Waterloo Total Funding

Source: InfoEd funding data is from April 1 to March 31 each year.

Figure 4: Industry Funding Trend

Source: InfoEd funding data is from April 1 to March 31 each year.

Government match of industry funding shows the Government portion of matching/leveraged funds for the following project sponsors:

NSERC Alliance | ORF-RE | OCI | FedDev | Mitacs |

Small amounts from APC | Communitech | DND/NSERC RSCH Partnership PGM |

Figure 5: University of Waterloo Health Technology Funding

Source: CIHR + NSERC + SSHRC+CFI Public Databases using a combination of keywords provided by the Transformative Health Technology team from May 1 to April 30 each year.

Figure 6: Comprehensive University CIHR Funding 2022/23

Source: CIHR Public database from April 1 to March 31, 2023.

Figure 7: U15 NSERC Funding 2022/23

Source: NSERC Public database from April 1 to March 31, 2023.

Figure 8: University of Waterloo SSHRC Funding

Source: InfoEd funding data is from April 1 to March 31 each year.⁹

Figure 9: CRC EDI targets

Source: Institutional Research team data is for 2025 interim targets set by the Federal Government

Other notes: A women includes people who identify as women and gender minorities | The definition for 'person with a disability' is aligned with the UWaterloo Equity Survey, not with the Employment Equity Act.

Figure 10: 2024 Faculty Award Ratio: Macleans Best Canadian Comprehensive Universities

Source: Macleans faculty award ranking

Data is for previous five-year period; 2024 ranking is for 2019 to 2023 data.

Each annual ranking shows the number of faculty members who have won major awards over the past five years, including Killam, Molson and Steacie prizes, the Royal Society of Canada awards, the 3M Teaching Fellowships and more than 30 other award programs. The total award count is divided by the number of full-time faculty.

Figure 11: See above. Data shows top 12 Universities in Canada in the ranking not only Comprehensive Universities.

Other data notes in order of report placement:

International research partnership funding and country data

Source: InfoEd funding data is from October 1, 2022 to October 1, 2023.

Government relations and lobbying activities

Source: Associate Director, Government Relations and Communications Jan. 1, 2022 to Dec.31, 2023.

Waterloo International Data

Source: Waterloo International team data is from 2022/23 Academic year

SSHRC NFRF data for 2022 competition year

Source: SSHRC Public NFRF dashboard

Equity Diversity and Inclusion

Source: Equity, Diversity and Inclusion in Research team data is for the period January 2022 to October 2023.

Research InfoSource ranking data

Source: Research Infosource ranking 2023

Data notes: The following indicators included in the Research Infosource Inc. ranking:

- *Total sponsored research income includes all funds to support research received in the form of a grant, contract or contribution from all sources external to the institution | Data from Statistics Canada (20%).*
- *Research intensity per faculty member=faculty head counts for 2021/22 for full/part-time: full, associate and assistant ranks | Data from Research Infosource's Canadian University R&D Database (20%).*
- *Research intensity per graduate student= graduate student numbers for 2021/22 in graduate programs leading degrees, certificates and diplomas | Data from Ontario Ministry of Advanced Education and Skills Development (10%).*
- *Total number of publications in leading journals (20%) | Web of Science*
- *Publication intensity (20%) | Web of Science*
- *Publication impact (10%) | Web of Science*

Safeguarding research data is for the calendar year 2023.

Source: VPRI Safeguarding Research team

Velocity student program data is for the period from January to October 2023.

Source: Waterloo Ventures- Velocity team

Up- Start Program data is between August 2022 and January 2023

Source: Waterloo Ventures-Velocity Up-Start team

WatCo: Entrepreneur Success Story data is for Academic year 2022/2023

Source: Waterloo Ventures- WatCo. team

For Approval**Open Session****To:** Senate**Sponsor:** Secretariat
Contact Information: senate@uwaterloo.ca**Date of Meeting:** January 15, 2024**Agenda Item Identification:** 10. Approval of Membership to Senate Committees and Councils**Recommendation/Motion:**

To elect Nasser Abukhdeir to the Senate Long Range Planning Committee as the member from the Board of Directors of the Faculty Association of the University of Waterloo, term to 30 April 2024.

Summary:

The Faculty Association of the University of Waterloo has nominated Nasser Abukhdeir to fill the vacancy on this committee, for the remainder of the 2023-24 academic year. The terms of reference for the committee indicate that this member is elected by Senate.

Jurisdictional Information:

As provided for in [Senate Bylaw 2](#), section 1.04, Senate Executive Council is empowered:

- e. To present to Senate, normally at the last regular meeting in the academic year in April, a list of nominations for the committees and councils of Senate.

Governance Path:

Senate Executive Committee (mm/dd/yy): 01/15/24

Senate approval date (mm/dd/yy): 01/29/24

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For Approval**Open Session****To:** Senate**Sponsors:** Charmaine Dean
Vice-President, Research & InternationalJeff Casello
Associate Vice-President, Graduate Studies and Postdoctoral Affairs**Presenter:** Charmaine Dean
Contact Information: vpri@uwaterloo.ca**Date of Meeting:** January 29, 2024**Agenda Item Identification:** **11a. Report – Senate Graduate & Research Council:
Dissolution of the Survey Research Centre (SRC)****Recommendation/Motion:**

To approve the dissolution of the Survey Research Centre (SRC), as presented.

Summary:

[Senate Graduate & Research Council](#) met on November 20, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 4.03(g): “Consider, study and review all proposals for new centres and institutes, and the closure of centres and institutes, and make recommendations to Senate thereon.”

Governance Path:

Senate Graduate & Research Council approval date (mm/dd/yy): 11/20/23

Highlights/Rationale:

A recommendation that the Survey Research Centre be dissolved received from Christiane Lemieux, Associate Dean, Math, Operations and Academic in consultation with Sheila Ager, Dean of Arts; Mark Giesbrecht, Dean of Math; Martin Lysy, Director, Statistical Consulting and Collaborative Research Unit; and Executive Director, Survey Research Centre, Leia Minaker. There were no issues related to this closure identified by the Office of Research or Senate Graduate & Research Council, and both the Dean of Arts and the Dean of Math provided letters supporting the closure of the Centre.

The SRC was founded in 1999 by co-directors Mary Thompson (Statistics and Actuarial Science, hereafter SAS) and John Goyder (Sociology) for two main reasons: (i) to serve academic and institutional researchers by conducting rigorous surveys, and (ii) to conduct research on surveys as a means of creating valid and reliable datasets for research. For both inaugural co-directors of the SRC, methodological development of survey methods was a primary area of research.

Over the years, and especially with the retirement of Drs. Thompson and Goyder, the activities of the SRC have evolved from research and service to almost exclusively the latter. This is because subsequent directors and co-directors of the SRC were not survey methodologists, and instead have been faculty members from across campus who use survey methods in their research, but do not specifically research survey methods. Therefore, the designation of Research Centre at University of Waterloo no longer seems appropriate.

On September 7, 2023, the SRC was officially merged with the Statistical Consulting and Collaborative Research (SCCR) unit in SAS to form the Statistical Consulting and Survey Research (SCSR) unit. The intention is for the existing service activities of both contributing entities to continue unchanged, with ample opportunities for creating new services and improving existing ones due to synergistic restructuring of overlapping tasks. Since the operations of the centre are continuing within their new home in SAS, the budget/funds associated with the SRC have been transferred into the departmental budget and financial operations of SAS. No SRC staff positions have been or will be terminated as a result of the merger.



Senate Undergraduate Council

For Approval

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **12a. Report – Senate Undergraduate Council:
Major Modifications – Computer Engineering and Electrical
Engineering**

Recommendation/Motion:

To approve the creation of the Quantum Engineering Specialization in (1) the Computer Engineering plan and in (2) the Electrical Engineering plan, effective 1 September 2024, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(b): “Make recommendations to Senate with respect to new undergraduate programs/plans, the deletion of undergraduate programs/plans, and major changes to undergraduate programs/plans.”

Governance Path:

Engineering Faculty Council approval date (mm/dd/yy): 09/19/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

This proposal is to create a Quantum Engineering Specialization in Computer Engineering and a Quantum Engineering Specialization in Electrical Engineering, to meet the growing demand for education and training in this new and growing area. Students active in the programs when the new specializations are introduced can declare the specialization.

Proposed Revisions:

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/ENG-Computer-Engineering>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Computer Engineering

...

Quantum Engineering Specialization

Students interested in pursuing this Specialization must achieve a minimum average of 60% in the specialization courses, and a minimum grade of 50% in each of the courses. Students who satisfy the requirements for Faculty Options, Specializations and Electives for Engineering Students will have the appropriate designation shown on their diploma and transcript.

Students need to complete:

- **ECE 305 Introduction to Quantum Mechanics**

plus 3 courses from the list below:

- **ECE 405A Quantum Info Processing Devices**
- **ECE 405B Experimental Quantum Engineering q**
- **ECE 405C Quantum Computing**
- **ECE 405D Superconducting Quantum Circuits**

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/ENG-Electrical-Engineering>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Electrical Engineering

...

Quantum Engineering Specialization

Student interested in pursuing this Specialization must achieve a minimum average of 60% in the specialization courses, and a minimum grade of 50% in each of the courses. Students who satisfy the

requirements for Faculty Options, Specializations and Electives for Engineering Students will have the appropriate designation shown on their diploma and transcript.

Students need to complete:

- **ECE 305 Introduction to Quantum Mechanics**

plus 3 courses from the list below:

- **ECE 405A Quantum Info Processing Devices**
- **ECE 405B Experimental Quantum Engineering q**
- **ECE 405C Quantum Computing**
- **ECE 405D Superconducting Quantum Circuits**

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For Approval**Open Session**

To: **Senate**

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **12b. Report – Senate Undergraduate Council:
Major Modification – Nanotechnology Engineering**

Recommendation/Motion:

To approve the creation of a Nanoelectronics Specialization, Nanobiosystems Specialization, Nanofabrication Specialization, and Nanomaterials Specialization within the Nanotechnology Engineering plan, effective 1 September 2024, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(b): “Make recommendations to Senate with respect to new undergraduate programs/plans, the deletion of undergraduate programs/plans, and major changes to undergraduate programs/plans.”

Governance Path:

Engineering Faculty Council approval date (mm/dd/yy): 09/19/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

The inherent nature of the program is seen by the highly focused senior laboratory choices available to students. Adding these specializations will help students who are interested in focusing their studies, be able to better communicate their strengths in a particular area of nanotechnology engineering. For each specialization there are two lists. List A courses capture fundamental electives in that area of expertise, and list B courses provide an opportunity for student to further specialize. Nanotechnology Engineering students are required to choose 8 technical electives, 4 of which must be NE designated courses. In order to satisfy the requirement for a specialization, students will need to complete the designated NE454 and NE455 laboratories, choose 2 courses from List A of a specialization, and choose another 3 courses from either List A or List B. Students active in the program when the new specializations are introduced can declare the specializations.

Proposed Revisions:

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/ENG-Nanotechnology-Engineering>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Nanotechnology Engineering

...

Specializations

The Faculty of Engineering recognizes four specializations with the Nanotechnology Engineering BAsC degree. Students who satisfy the specialization requirements (courses and grades) will have the specialization designation shown on their transcript and diploma. Specializations are intended to recognize success in a concentration of electives within the Nanotechnology Engineering degree specification, where specializations focus the selection of technical electives and do not require extra courses.

Each specialization requires students to select technical electives with a common theme. Students are responsible for meeting the TE requirements of the Nanotechnology Engineering degree when pursuing a specialization. Students must declare a specialization for it to be recognized as part of their degree and appear on the transcript and diploma. To obtain a specialization, students will need to complete the two required laboratories, 2 courses from List A, and another 3 courses from either List A or List B for that specialization.

The specialization course requirements are provided below.

Nanoelectronics Specialization

The nanoelectronics specialization requires:

2 Laboratories:

NE 454A Nano-electronics Laboratory 1
NE 455A Nano-electronics Laboratory 2

List A Technical Electives:

NE 344 Electronic Circuits
NE 345 Photonic Materials and Devices
NE 471 Nano-electronics
NE 476 Organic Electronics

List B Technical Electives:

NE 459 Nanotechnology Engineering Research Project*
NE 466 Tactile Sensors and Transducers
NE 496 Nanomaterials for Electrochemical Energy Systems
ECE 331 Electronic Devices
ECE 432 Radio Frequency Integrated Devices and Circuits
ECE 444 Integrated Analog Electronics
***With approval from the Associate Director (students)**

Nanobiosystems Specialization

The Nanobiosystems Specialization requires:

2 Laboratories:

NE 454C Nanobiosystems Laboratory 1
NE 455C Nanobiosystems Laboratory 2

List A Technical Electives:

NE 335 Soft Nanomaterials
NE 381 Introduction to Nanoscale Biosystems
NE 481 Nanomedicine and Nanobiotechnology
NE 486 Biosensors

List B Technical Electives:

NE 459 Nanotechnology Engineering Research Project*
NE 487 Microfluidic and Nanobiotechnological Systems
NE 488 Biomaterials and Biomedical Design
CHE 562 Advanced Bioprocess Engineering
CHE 565 Synthetic Biology Project Design
CIVE 460/ME 574 Engineering Biomechanics
SYDE 544 Biomedical Measurement and Signal Processing
***With approval from the Associate Director (students)**

Nanofabrication Specialization

The Nanofabrication Specialization requires:

2 Laboratories:

NE 454B Nano-instrumentation Laboratory 1

NE 455B Nano- instrumentation Laboratory 1

List A Technical Electives:

NE 345 Photonic Materials and Devices

NE 353 Nanoprobng and Lithography

NE 461 Micro and Nano-instrumentation

List B Technical Electives:

NE 459 Nanotechnology Engineering Research Project*

MTE 545 Introduction to MEMS fabrication

ME 596 Special topics in mechanical engineering;

Intro. Fabrication and Characterization of Nanostructures

***With approval from the Associate Director (students)**

Nanomaterials Specialization

The Nanomaterials Specialization requires:

2 Laboratories:

NE 454D Nanostructured Materials Laboratory 1

NE455D Nanostructured Materials Laboratory 2

List A Technical Electives:

NE 335 Soft Nanomaterials

NE 353 Nanoprobng and Lithography

NE 491 Nanostructured Materials

NE 496 Nanomaterials for Electrochemical Energy Systems

List B Technical Electives:

NE 459 Nanotechnology Engineering Research Project*

CHE 543 Polymer Production: Polymer Reaction Engineering

ME 435 Industrial Metallurgy

ME 533 Non-metallic and Composite Materials

***With approval from the Associate Director (students)**

Senate Undergraduate Council

For Approval

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **12c. Report – Senate Undergraduate Council:
Major Modifications – Planning Honours**

Recommendation/Motion:

To approve the following major modifications in Planning Honours: the creation of the Social Planning and Community Development Specialization; revisions to the Environmental Planning and Management Specialization, the Land Development Planning Specialization, and the Urban Design Specialization; and the inactivation of the Decision Support and Geographical Information Systems Specialization, effective 1 September 2024, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(b): “Make recommendations to Senate with respect to new undergraduate programs/plans, the deletion of undergraduate programs/plans, and major changes to undergraduate programs/plans.”

Governance Path:

Environmental Faculty Council approval date (mm/dd/yy): 09/14/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

Creation of the new Social Planning and Community Development Specialization

This new specialization has been developed as part of the curriculum review conducted by the School of Planning, specifically addressing emergent priorities in planning theory and practice. Other minor modifications to the Planning Honours program have been approved by Senate Undergraduate Council at the November 21, 2023 meeting on behalf of Senate as part of this review process. Quality Assurance was consulted. The Specialization's average will be 75% as with all Planning Specializations.

Description to be added to the Planning webpage: "The Social Planning and Community Development Specialization will strengthen students' understanding of the relationship between built form, and social and community well-being. Specifically, students will acquire advanced knowledge of municipal policies, plans and programs that influence social equity, inclusion, capital, and foster community building, cohesion, and justice. Students completing this specialization will be well suited for a range of planning positions where social issues and community development are a priority."

Revisions to the Environmental Planning and Management Specialization, the Land Development Planning Specialization, and the Urban Design Specialization

These revisions have also been developed as part of the curriculum review by the School of Planning. Students have been consulted about these changes. The required courses for the specializations are being removed as they are core for Honours Planning, meaning students must take and complete these courses regardless. For specializations for which a name change is being proposed, students will be provided with an option of which specialization they wish to graduate with (as of June 2025 convocation). Students are expected to meet the requirements that align with the specialization name. The Application for Graduation form will require updating to reflect the title options. Communications to students, regarding specialization title options, will be forthcoming. Quality Assurance was consulted.

Specialization Descriptions:

- Environmental Planning Specialization - The Environmental Planning Specialization strengthens students' understanding of community sustainability, environmental policy and regulation, the social, economic, and environmental outcomes of different land use options, climate change adaptation and mitigation, and biodiversity conservation. Students completing this specialization will acquire skills in systems thinking, impact assessment, nature-based solutions, and sustainable development. They will be well suited for jobs in community sustainability planning, conservation planning, and environmental assessment.
- Land Use, Transportation, and Infrastructure Planning Specialization - The Land Use, Transportation & Infrastructure specialization strengthens students' understanding of the relationship between land-use and transportation. Students completing this specialization will develop strong skills in systems thinking, and physical planning at a regional scale. Graduates with this Specialization would be ready to work in the transportation sector, land development industry, municipal planning, or private planning practice.
- Urban Design Specialization - Urban design prepares students to think about the physical/built form of cities and to develop creative solutions that make our communities and neighborhoods more livable, socially, and environmentally sustainable, and aesthetically appealing. Through a combination of studios,

seminars and lecture-based learning methods, students are given a foundation in urban design theories and case studies, graphic communication and visualization techniques, spatial analysis and planning methods, and sustainable design principles.

Inactivation of the Decision Support and Geographical Information Systems Specialization

The Faculty of Environment offers the Diploma in Geographic Information Systems that closely mirrors this specialization. Planning students who are interested in Geographic Information Systems will be directed to complete the diploma. Quality Assurance was consulted.

Proposed Revisions:

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/ENV-Specializations-Planning>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Specializations for Planning

Advisors: See Faculty of Environment undergraduate advising.

School of Planning students may choose to graduate with up to two specializations.

All specializations require a minimum cumulative specialization average of 75%.

Decision Support and Geographic Information Systems Specialization

~~Geographic information systems (GIS) are used commonly by planners to manage, analyze, and visualize data related to urban planning and resource management. Students completing this specialization will have a sound grasp of the principles of GIS and the means to apply this technology effectively in research capacities and in planning practice. [The Diploma of Excellence in Geographic Information Systems is not available to students graduating with this specialization.](#)~~

Successful completion requires:

1. ~~3.5 units distributed as follows:~~
 - ~~○ [ENVS 278](#) Applied Statistics for Environmental Research~~
 - ~~○ [PLAN 281/GEOG 281](#) Introduction to Geographic Information Systems (GIS)~~
 - ~~○ At least 2.5 units from (see additional condition):~~
 - ~~▪ [PLAN 381/GEOG 381](#) Advanced Geographic Information Systems~~
 - ~~▪ [PLAN 387/GEOG 387](#) Spatial Databases~~
 - ~~▪ [PLAN 481/GEOG 481](#) Geographic Information Systems Project (1.0 unit)~~

Environmental Planning and Management Specialization

The Environmental Planning and Management Specialization is for students intending to integrate ecology and environmental management into their career plans. It is intended for those with an urban focus as well as for students with rural, resource hinterland, or park planning interests.

Successful completion requires:

1. 3.5 units distributed as follows:

- ENVS 200 Field Ecology
- PLAN 340 Canadian Environmental Policy and Politics
- PLAN 341/GEOG 368 Conservation/Resource Management of the Built Environment
- At least 2.0 units from (see additional condition):
 - PLAN 432/GEOG 432/HLTH 420 Health, Environment, and Planning
 - PLAN 440 Urban Services Planning
 - PLAN 451 Tools for Sustainable Communities
 - PLAN 452 Policy Analysis and Program Evaluation
 - PLAN 453/GEOG 453 Urban Stormwater Management
 - ENVS 401 Canadian Law, Indigenous Peoples, and Natural Resource Development
 - ENVS 433/REC 433 Ecotourism and Communities (1.0 unit)
 - ENVS 444 Ecosystem and Resource Management in Parks/Natural Areas
 - ENVS 460 Landscape Ecology, Restoration and Rehabilitation
 - ERS 315 Environmental and Sustainability Assessment 2
 - ERS 316 Urban Water and Wastewater Systems: Integrated Planning and Management
 - ERS 382 Ecological Monitoring (1.0 unit)
 - ERS 404/PSCI 432 Global Environmental Governance
 - ERS 484/GEOG 404 Soil Ecosystem Dynamics
 - GEOG 459 Energy and Sustainability (1.0 unit)

Successful completion requires:

1. 2.5 units distributed as follows:

- **PLAN 340 Canadian Environmental Policy and Politics**
- **PLAN 451 Environmental Planning in Rural and Regional Systems**
- **At least 1.5 units from (see additional conditions):**
 - **PLAN 358 Planning Agricultural Systems**
 - **PLAN 414 Heritage Conservation Planning**
 - **PLAN 417 Aggregate Resources Planning, Development, and Management**
 - **PLAN 440 Urban Services**
 - **PLAN 453/GEOG 453 Urban Stormwater**
 - **PLAN 480 Planning Theory and Practice Abroad**

- **PLAN 485 Projects, Problems, and Readings in Planning**
- **Up to 1.0 units from:**
 - **ENVS 401 Canadian Law, Indigenous Peoples, and Natural Resource Development**
 - **ENVS 444 Ecosystem and Resource Management in Parks/Natural Areas**
 - **ENVS 469 Landscape Ecology, Restoration and Rehabilitation**
 - **ERS 316 Urban Water and Wastewater Systems: Integrated Planning and Management**
 - **ERS 372 First Nations and the Environment**

Land Development Planning Specialization **Land Use, Transportation, and Infrastructure Planning Specialization**

The Land Development Planning Specialization trains planning students to develop or redevelop land in communities. Land development planners practice in complex, high-profile, and often contentious decision-making environments. To be effective practitioners in this planning context, students acquire a good working knowledge of land use planning regulations, planning law, policy, and land development issues. Graduates with this Specialization would be ready to work in the land development industry, municipal planning, or private planning practice.

Successful completion requires:

1. 5.5 units distributed as follows:

- PLAN 103 Planning, Administration, and Finance
- PLAN 233 People and Plans
- PLAN 261 Urban and Metropolitan Planning and Development
- PLAN 346 Advanced Tools for Planning: Public Participation and Mediation
- PLAN 401 Planners and Planning Tribunals
- PLAN 483 Land Development Planning
- ENVS 201 Introduction to Canadian Environmental Law
- At least 2.0 units from (see additional condition):
 - PLAN 320/GEOG 319 Economic Analyses for Regional Planning
 - PLAN 349/GEOG 349 Urban Form and Internal Spatial Structure
 - PLAN 362 Regional Planning and Economic Development
 - PLAN 450/GEOG 450 Changing Form and Structure of Metropolitan Canada
 - PLAN 471 Planning Law
 - PLAN 478/CIVE 440 Transit Planning and Operations
 - PLAN 484/CIVE 484 Physical Infrastructure Planning

Successful completion requires:

1. **2.5 units distributed as follows:**

- **PLAN 203 Transportation Planning and Mobility**
- **PLAN 483 Land Development Planning**

- **At least 1.5 units from (see additional conditions):**
 - **PLAN 320/GEOG 319 Economic Analysis for Regional Planning**
 - **PLAN 349/GEOG 349 Urban Form and Spatial Structure**
 - **PLAN 414/REC 425 Heritage Conservation Planning**
 - **PLAN 415 Urban Planning in China**
 - **PLAN 416 Modelling the City**
 - **PLAN 431 Issues in Housing**
 - **PLAN 432/GEOG 432/HLTH 420 Health and the Built Environment**
 - **PLAN 440 Urban Services**
 - **PLAN 477 Freight Planning and Policy**
 - **PLAN 478/CIVE 440 Transit Planning and Operations**
 - **PLAN 484/CIVE 484 Physical Infrastructure Planning**
 - **PLAN 480 Planning Theory and Practice Abroad**
 - **PLAN 485 Projects, Problems, and Readings in Planning**
-

Social Planning and Community Development Specialization

Successful completion requires:

1. 2.5 units distributed as follows:

- **PLAN 233 Social Planning and Community Development**
 - **PLAN 333 Neighbourhood and Community Planning**
 - **At least 1.5 units from (see additional conditions):**
 - **PLAN 380 Crime and the City**
 - **PLAN 414/REC 425 Heritage Conservation Planning**
 - **PLAN 431 Issues in Housing**
 - **PLAN 432/GEOG 432/HLTH 420 Health and the Built Environment**
 - **PLAN 433 Social Issues in Planning**
 - **PLAN 441 Disabling Environments and Accessibility in Planning**
 - **PLAN 442 Indigenous Peoples and Planning**
 - **PLAN 443 Planning for Ethno-cultural Diversity and Difference**
 - **PLAN 445 Gender and Queer Inclusive Planning**
 - **PLAN 480 Planning Theory and Practice Abroad**
 - **PLAN 485 Projects, Problems, and Readings in Planning**
 - **One of:**
 - **REC 422 Urban Recreation**
 - **SDS 312R/SWREN 312R Homelessness and Public Policy**
-

Urban Design Specialization

The Urban Design Specialization acknowledges the student's competence in design and prepares them for work in

public and private practice. Urban design focuses on the look and feel of our communities. An urban designer might be part of creating, for example, public squares, urban streetscapes, or urban parks. This Specialization also provides a sound foundation for graduate studies in urban design.

Successful completion requires:

1. 4.0 units distributed as follows:
 - PLAN 110 Visual Approaches to Design and Communication
 - PLAN 210 Community Design Fundamentals for Planners
 - PLAN 211 Design Studio Foundations
 - PLAN 409 Urban Design Studio (1.0 unit)
 - At least 1.5 units from (see additional condition):
 - PLAN 309 Site Planning and Design Studio
 - PLAN 313 Community Design Studio (1.0 unit)
 - PLAN 408 Urban Design Seminar
 - PLAN 414/REC 425 Heritage Planning Workshop
 - PLAN 431 Issues in Housing

Successful completion requires:

1. **2.5 units distributed as follows:**
 - **PLAN 211 Design Studio Foundations**
 - **PLAN 309 Site Planning and Design Studio**
 - **PLAN 408 Urban Design Seminar**
 - **PLAN 409 Community Design Studio (1.0 unit)**
-

Additional condition for all specializations, **except Urban Design:**

PLAN 490 Senior Honours Essay (1.0 unit) topics - if related to the specialization - may be approved as an elective course requirement by the [associate director, undergraduate studies, School of Planning](#).

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Senate Undergraduate Council

For Approval

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **12d. Report – Senate Undergraduate Council:
Inactivation – Global Experience Certificate**

Recommendation/Motion:

To approve the inactivation of the Global Experience Certificate, effective 1 September 2024, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with Senate Bylaw 2, section 5.03(b): “Make recommendations to Senate with respect to new undergraduate programs/plans, the deletion of undergraduate programs/plans, and major changes to undergraduate programs/plans.”

Governance Path:

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Background:

Since its launch in 2009, the [Global Experience Certificate](#) (GEC) has supported students seeking to become globally engaged learners. Students who have completed the GEC requirements are recognized with a certificate

presented on convocation and by listing the certificate on their transcript. Currently, the GEC requires students to complete four components:

- Three for-credit courses (1.5 units), specifically two first-year sequential language courses and one Global Studies course
- One international experience (IE) of minimum 6 consecutive weeks
- One intercultural volunteer experience (IVE) of minimum 20 hours during a single term
- One written reflection piece

Since the GEC's inception, and up to October 2023, 540 students have graduated from the program (ARTS 307; ENV 105; MATH 41; SCI 38; HEALTH 33, and ENG 16). As of August 2023, there are 89 students enrolled in the program (ARTS 48; ENG 4; ENV 17; HEALTH 7; MATH 8; SCI 5). There are only 12 international students currently enrolled in the GEC.

Highlights/Rationale:

Staff responsible for the GEC carried out a systematic assessment of the program to identify a) challenges students face to complete the certificate, and b) perceived benefits from obtaining the certificate. The findings suggest students are primarily unable to obtain a GEC due to program restraints, which are most significant for STEM students (i.e., inability to incorporate required courses), costs associated with travel, changing plans in a way that prevents them to complete a term abroad, and difficulties completing the volunteering hours within a single term. The perceived benefits of obtaining a GEC that students identified include bolstering their international experience, developing transferable skills, increasing their employability, and showcasing their achievements.

Following up on these findings, the Student Success Office's (SSO) Intercultural Learning Specialist carried out a consecutive environmental scan, literature review, and assessment of the GEC and highlighted the findings below.

- Graduation rates are low and point at a significant and continuous decrease, for instance:
 - The number of students graduating with a GEC in 2017 = 73; in 2018 = 72; in 2019 = 55.
 - Only 32 students are graduating with a GEC in 2023.
- Although there are 89 students currently enrolled in the program, new enrolment numbers continue to be low (e.g., as of August 2023, only 33 students have enrolled in the program since the beginning of the year). These numbers were negatively affected during the pandemic and have not reached pre- pandemic rates. In addition, a percentage of current students is likely to withdraw from the GEC when they face challenges to complete the requirements.
- Marketing efforts are not effective; students are able to identify benefits of participating in the GEC but are often unable to obtain it due to the barriers listed above. This makes the program inaccessible to the general student population.

Further assessment of the GEC involved collecting data from focus groups where University of Waterloo students were invited to react to a new proposed certificate: GLIDE (Global Learning and Intercultural Development Experience). Students' responses were highly positive towards the proposed offering, as it focuses on removing challenges associated with completing the GEC and offers benefits to students in addition to what they identified during the prior assessment of the GEC.

Taking into consideration the result of the internal assessment and student responses, the SSO recommend inactivating the GEC, with an effective date of September 1, 2024. After that, the SSO will offer students the opportunity to enrol in a new certificate of completion (GLIDE) that seeks to better serve students by increasing flexibility of completion and promoting inclusivity. GLIDE will be defined as a certificate of completion, and as such it will not be governed by Senate, not be listed in the Undergraduate Studies Academic Calendar, not appear on a student's record and transcript, and the certificate will be produced by the Student Success Office and not the Office of the Registrar. The SSO's Global Learning Team will administer all aspects of GLIDE and will provide students with a certificate of completion at the end, which can be highlighted on a resume.

Benefits of the new certificate of completion GLIDE would allow the SSO to:

- Foster inclusivity and offer intercultural education for all: Not all UW students are able to travel abroad to complete an international experience due to health (physical and mental), personal, socioeconomic, and program-related concerns. The new certificate will welcome, but not require, travel but will still provide graduate and undergraduate students with the opportunity to engage and learn interculturally. This also translates into further opportunities for underrepresented students to engage in guided programming and more meaningful interactions across cultures.
- Acknowledge and enhance international students' experiences: International students at UW who are interested in pursuing a GEC are required to complete an experience outside of the country even if Canada is already an international location for them. This will no longer be the case under the new certificate.
- Promote intercultural development and internationalization at home. Research shows that students involved in activities at home can develop awareness, gain knowledge, and improve their intercultural perceptions through purposeful engagement on campus and within the community with comparable and potentially heightened results. This has been considered in the development of GLIDE.
- Provide a platform supporting student communities: Domestic and international students will have greater opportunities to enhance their interactions and learn from each other through participation and reflection. This further supports efforts around understanding anti-racism and culturally constructed behaviours.
- Adhere to UW's 2020-2025 Strategic Plan: Understanding that internationalization happens in different ways and our students can benefit from participating in activities that open their minds to other perspectives; developing talent and skills through interpersonal and experiential learning; supporting sustainable learning environments while minimizing carbon footprint.

Proposed Revisions:

Inactivate the Global Experience Certificate (GEC), with an effective date of September 1, 2024.

Students who declared their intention to obtain a GEC prior to the inactivation of the GEC and wish to continue pursuing this certificate, will continue to have the GEC listed on their transcript and receive the certificate on convocation.

Inactivating the GEC will involve:

- Communication Campaign: Prior to the inactivation of the GEC on September 1, 2024, the SSO will lead a communications campaign to warn students who may not have declared their intention to obtain a GEC, but who may have an intention to pursue the certificate. Any student interested in pursuing a GEC, who applies for this certificate before September 1, 2024, will be supported as they complete the GEC requirements.
- Support for Students: On September 1, 2024, admission will be closed to any student who has not declared their intention to obtain a GEC. Students on track to obtain a GEC will be offered two options:
 - a. continue with their plan to obtain a GEC; they will be supported as they complete the remaining GEC requirements, the certificate program will be listed in their transcript, and will receive the certificate on convocation.
 - b. transfer to the new GLIDE certificate, count their work towards completing required components, and obtain the certificate of completion from the SSO, thus benefiting from the additional flexibility and options to obtain the GLIDE certificate.
- Undergraduate Studies Academic Calendar: The GEC will be removed from the Undergraduate Studies Academic Calendar, effective September 1, 2024. The new GLIDE certificate will be a non-calendar item.
- Office of the Registrar: The Office of the Registrar will not be responsible for producing certificates related to GLIDE; the certificate of completion will not appear on the students' transcript and will not be presented on convocation. Certificates from the Office of the Registrar would only be provided for the remaining students on track to obtain a GEC, who will still have the GEC listed on their transcript and will receive the associated certificate on convocation.



For Approval

Open Session

To: Senate

Sponsors: James W.E. Rush,
Vice-President, Academic and Provost

Jeff Casello
Associate Vice-President, Graduate Studies and Postdoctoral Affairs

David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi, Associate Vice-President, Academic
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **13a. Report of the Provost – Revisions to Institutional Quality Assurance Process (IQAP)**

Recommendation/Motion:

To approve the revisions to the Institutional Quality Assurance Process (IQAP), as presented.

Background and Summary:

In 2010, the [Ontario University Council on Quality Assurance](#) (the Quality Council/QC) was established as an organization at arm's length from both the Provincial Government and Ontario universities to oversee the quality of all degree and diploma programs at Ontario universities. As part of this oversight process, each university establishes an Institutional Quality Assurance Process (IQAP) setting out its own processes for approving and reviewing such programs, subject to the rules established by the Quality Council's [Quality Assurance Framework](#) (QAF). The Quality Council process serves as a mechanism that balances institutional autonomy with the reasonable expectation of the government that academic programming is reviewed to ensure its quality.

The Quality Council recently updated its QAF which necessitated changes to each Ontario university's established IQAP. The following list includes the substantial changes for the University of Waterloo IQAP document:

- Links to new principles in the QAF
- Expands emphasis on continuous improvement
- Removes specific operational details to a separate document (Appendix B - Procedures)

- For new programs:
 - Creates flexible deadline for progress report
- Requires student consultation for major modifications
- For cyclical program reviews:
 - Requires feedback from employers/professional associations for professional programs
 - Replaces “two year progress report” with a mid-cycle report
 - Clarification of expectations on all parties for Waterloo programs with substantial AFIW involvement
- Allows virtual site visits but requires site visits to be in-person if infrastructure/facilities are critical to achieving program learning outcomes
- Requires an institutional self-study for QC audit of QA processes.

The most consequential change is the step to remove operational details to a separate Procedures document. This allows changes to processes to occur without revision to the IQAP itself. This is a significant advantage given that material changes to the IQAP require approval by both the Senate and the Quality Council, while procedural changes can be implemented much more readily when it becomes clear that they are warranted. This is a substantial step forward in allowing the Office of Quality Assurance and Continuous Improvement (QACI) to apply continuous improvement principles to its own work, enabling the University to derive increasing value from the efforts required to carry out program reviews.

Another significant change is to replace the “two year progress report” with a mid-cycle report as part of the cyclical program reviews. The mid-cycle report will facilitate both a review of progress on action plans created in response to reviews and preparation for the next review. This change was based on feedback received from programs who found that a two-year progress report was too close to the Final Assessment Report and therefore programs had little progress to report. A mid-cycle progress report will allow for more meaningful reporting on progress since the approval of the Final Assessment Report. It also facilitates using this step in the process to help programs align supports that can help them efficiently and effectively complete their next review.

Some revisions reflect input from consultations carried out by the QACI Office with representatives of programs that completed cyclical reviews in 2022-23. The revisions have been previously discussed and endorsed at Deans Council, Senate Graduate and Research Council (November 20, 2023), and Senate Undergraduate Council (November 21, 2023).

Documentation Provided:

Appendix A – Proposed Revisions to the IQAP

Appendix B – Procedures



**UNIVERSITY OF
WATERLOO**

Institutional Quality Assurance Process (IQAP)

Approved by University of Waterloo Senate MONTH, DAY, YEAR
Ratified by the Quality Council MONTH, DAY, YEAR

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INTRODUCTION

In 2010, the [Ontario Universities Council on Quality Assurance](#) (Quality Council or QC) was established by the Ontario Council of Academic Vice-Presidents (OCAV), to provide oversight of a unified undergraduate and graduate quality assurance process under one framework.¹

The [Quality Assurance Framework \(QAF\)](#) follows “international quality assurance standards” to “... facilitate greater international acceptance of our degrees and improve our graduates’ access to university programs and employment worldwide.”² The QAF was updated in 2020, and includes [15 principles](#) to which the Quality Council and universities commit to follow. The QAF also summarizes [Undergraduate Degree Level Expectations \(UDLES\) and Graduate Degree Level Expectations \(GDLES\)](#) to which all academic programs must align.³

This Institutional Quality Assurance Process (IQAP) is consistent with the [QAF](#).⁴ Any significant changes to the IQAP are subject to approval by the University of Waterloo Senate and must be ratified by the Quality Council. Furthermore, the IQAP and associated procedures are subject to regular audit by the Quality Council to ensure that the University of Waterloo adheres to the standards of the QAF.

While consistent with the QAF, the processes described below are understood to advance additional purposes beyond quality assurance. The University of Waterloo is dedicated to the provision of outstanding academic programming. The Quality Assurance process ensures that those who lead the design and delivery of the University’s programs are supported as they carry out a systematic review of their programs. The process also provides opportunities for all stakeholders – students, staff, faculty, and alumni – to provide meaningful input on a program’s academics and the conditions that facilitate their delivery.

Throughout the QA process, program stakeholders are encouraged to reflect on both the strengths of their offerings as well as opportunities to improve. These reflections, when coupled with assessments from arm’s-length experts, regularly affirm our programs’ high quality while identifying pathways by which various aspects may be enhanced. For programs, the process results in a set of well-articulated recommended actions that help set the direction for [continuous improvement](#) of our academic programming with appropriate transparency to the University and scholarly community.

Commented [AC1]: Continuous improvement (CI) in quality assurance activities is integrated throughout the IQAP. The Quality Council (QC) has an emphasis on CI.

To promote CI and the sharing of best practices, the QC has implemented an “Exchange Forum” to be held during regular QC contact meetings. The Secretariat will collate the findings of each forum into an omnibus report that will be shared with the universities and posted on the Quality Council’s website.

¹ [Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

² <https://oucqa.ca/framework/quality-assurance-the-international-context/>

³ Note: [Waterloo has added two UDLES](#) to the list created by OCAV: 1) Experiential Learning; 2) Diversity.

⁴ The Quality Assurance Framework will form the standard, should one not be specifically listed within this IQAP.

1.1 Authority

The University of Waterloo Senate is the final authority for ensuring the quality of all academic programs, including cyclical program reviews, new program proposals and major modifications to existing programs.

The Vice-President, Academic and Provost has responsibility for the IQAP and is the primary contact with the Quality Council. The Associate Vice-President, Academic (AVPA) and the Associate Vice-President, Graduate Studies and Postdoctoral Affairs (AVPGSPA) have delegated authority for the IQAP on behalf of the Vice-President, Academic and Provost.

Oversight of undergraduate program reviews, new undergraduate programs and major modifications to existing undergraduate programs rests with the AVPA. Responsibility for graduate program reviews, new graduate programs and major modifications to existing graduate programs rests with the AVPGSPA. Responsibility for combined (or augmented) reviews of undergraduate and graduate programs is shared between the respective portfolios.

In 2016, the Quality Assurance (QA) Office was established to support the AVPA and AVPGSPA in the oversight and monitoring of the IQAP. The QA Office is the primary contact for campus stakeholders regarding cyclical program reviews, new program proposals, and major modifications to existing programs. The Office operationalizes the IQAP and provides timely support to programs undergoing cyclical review, developing new programs and proposing academic program changes.

Detailed explanations and **procedures** for cyclical program reviews, new program proposals and major modifications, as well as contacts in the QA Office are listed on the [Academic Program Reviews](#) website. The information on this website constitutes the University of Waterloo's institutional manual as required by the Quality Council.

Commented [AM2]: The procedures exist outside this IQAP but will be hyperlinked upon approval and implementation. Yellow highlights represent areas where links to procedures will be added.

IQAP documentation (e.g., self-studies, External Reviewers' Reports, Final Assessment Reports etc.) is retained in accordance with the University of Waterloo's [institutional records retention schedule](#) and Quality Council guidelines.

1.2 Scope of the Quality Assurance Framework

The [QAF](#) guides quality assurance processes in the following four areas:

Cyclical Reviews of Existing Programs ([QAF 5](#))

Cyclical Program reviews are "aimed at assessing the quality of existing academic programs, identifying ongoing improvements to programs, and ensuring continuing relevance of the program to stakeholders."⁵ Cyclical program reviews culminate with a Final Assessment Report (FAR) – a concise synthesis of the program's overall quality and recommendations to improve or maintain its status – submitted for evaluation and approval by Senate Undergraduate Council or Senate Graduate and Research Council and then Senate. A list of programs that underwent

⁵ [Quality Assurance Framework \(oucqa.ca\)](#) (2021)

cyclical review and their Final Assessment Reports are submitted annually to the Quality Council for their review.

Note: programs which have been closed or for which admission has been suspended are out of scope and will not be included in a cyclical review.

Commented [AC3]: This is new. Previously we had to include these and provide data and analysis for the period they were operational.

New Program Approvals & Expedited Approvals of New Programs (QAF 2)

Proposals for new degree programs and Type 2 and 3 graduate diplomas are required to follow the QAF protocol for proposing new for-credit programs. New program proposals are submitted for evaluation and approval at Senate Undergraduate Council or Senate Graduate and Research Council and then Senate. Following Senate approval, new programs are submitted to the Quality Council’s Appraisal Committee for their review and approval. The Appraisal Committee has the authority to approve or decline new program proposals. In addition, new programs, where applicable, are submitted to the Ministry of Colleges and Universities (MCU) for approval of tuition rates and grant funding.

Major Modifications to Existing Programs (QAF 4)

To assure program quality of existing programs, any major substantive change made to an existing program (such that the changes are not significant enough to constitute a new program), is considered a major modification to the program. Major modifications are vetted within the program’s home Faculty prior to submission to Senate Undergraduate Council or Senate Graduate and Research Council and Senate for approval. A list of major modifications is submitted annually to the Quality Council for their review.

Audit of the Institutional Quality Assurance Process (IQAP) (QAF 6)

The University of Waterloo is subject to regular audit by the Audit Committee of the Quality Council. The panel examines each institution’s compliance with its own Institutional Quality Assurance Process. The audit is to be conducted every eight years and the auditor’s report and subsequent institutional response is posted on the [Quality Council website](#).

See [Appendix A](#) for a full listing of programs and levels and the sequence of approval and reporting.

As directed by the QAF (QAF), Waterloo’s IQAP covers: “... continuing undergraduate and graduate degree/diploma programs whether offered in full, in part, or conjointly by any institutions federated and affiliated with the university.”⁶ This also extends “to programs offered in partnership, collaboration or other such arrangement with other postsecondary institutions including colleges, universities, or institutes”⁶, as well as new program proposals, expedited approvals and major modifications with any of the aforementioned institutions.

⁶ [Quality Assurance Framework \(oucqa.ca\)](#) (2021)

1.3 Definitions

Quality Council Definitions

The terms listed below receive [specific definitions](#) by the Quality Council, and are used in this IQAP as so defined:

- Academic Services
- Collaborative Specialization
- Course Level Outcomes⁷
- Degree
- Degree Level Expectations⁸
- Degree Program
- Diploma Program (Graduate Type 1, 2, 3)
- Emphasis, Option, Minor Program
- Expedited Approvals
- Field
- Graduate Level Course
- Inter-Institutional Program Categories (Conjoint Degree, Cotutelle, Dual Credential, Joint Degree Programs)
- Major Modification
- Micro-credential
- Mode of Delivery
- New Program
- Professional Master's Program
- Program Objectives⁶
- Program-Level Student Learning Outcomes⁶
- Program of Specialization (major, honours program, concentration or similar)

University of Waterloo Definitions

The University of Waterloo also maintains a list of commonly used terms and their definitions. In some cases, terms may be defined by both the QC and the University. In these cases, the University takes steps to ensure that these definitions while not always exactly the same, are consistent in their intentions and interpretations. Waterloo definitions can be found in the following academic calendars:

- [Undergraduate Academic Calendar Glossary of Terms](#)
- [Graduate Academic Calendar Glossary of Terms](#)

In general, Waterloo defines a **program** as a defined set of requirements or courses common to a particular degree.

⁷ [Program Objectives and Program-level Learning Outcomes — Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

⁸ [Appendix 2: OCAV's Undergraduate and Graduate Degree Level Expectations — Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

Commented [AC4]: This is new. The draft definition from the QC for a micro-credential is:

A designation of achievement of a coherent set of skills and knowledge, specified by a statement of purpose, learning outcomes, and strong evidence of need by industry, employers, and/or the community. They have fewer requirements and are of shorter duration than a qualification and focus on learning outcomes that are distinct from diploma/degree programs.

A micro-credential is considered a **minor modification** and is not reported to or approved by the QC. However, we had to outline later in this document how we would monitor the approval and quality of such offerings.

Commented [AC5]: New - distinguishes between these two definitions.

Program Objectives

Clear and concise statements that describe the goals of the program, however an institution defines 'program' in its IQAP. Program objectives explain the potential applications of the knowledge and skills acquired in the program; seek to help students connect learning across various contexts; situate the particular program in the context of the discipline as a whole; and are often broader in scope than the program-level learning outcomes that they help to generate.

Program-Level Student Learning Outcomes

Clear and concise statements that describe what successful students should have achieved and the knowledge, skills, and abilities that they should have acquired by the end of the program, however an institution defines 'program' in its IQAP. Program-level student learning outcomes emphasize the application and integration of knowledge – both in the context of the program and more broadly – rather than coverage of material; make explicit the expectations for student success; are measurable and thus form the criteria for assessment/evaluation; and are written in greater detail than the program objectives. Clear and concise program-level learning outcomes also help to create shared expectations between students and instructors.

2. NEW PROGRAM APPROVALS

2.1 Aims of New Program Approvals

The procedures for assessing proposals for new programs should ensure that the program:

- meets or exceeds Waterloo’s expectations of academic excellence;
- is appropriately named to align with program content and to be recognizable to students, scholars and employers;
- reflects Waterloo’s distinctiveness and advances the University’s strategic objectives;
- is at the forefront of contemporary thinking in the discipline(s);
- is creative and innovative in its curriculum content and delivery;
- encourages interdisciplinarity as appropriate;
- has the potential to advance the University’s national and global recognition;
- will attract excellent students;
- is sufficiently resourced.

2.2 What Constitutes a New Program

The QAF defines a [new program](#) as:

“Any degree credential (e.g., BMus, Bachelor of Integrated Studies) or degree program (within an existing degree credential), currently approved by Senate or equivalent governing body, which has not been previously approved for that institution by the Quality Council, its predecessors, or any intra-institutional approval processes that previously applied. A change of name, only, does not constitute a new program; nor does the inclusion of a new program of specialization where another with the same designation already exists (e.g., a new honours program where a major with the same designation already exists).”⁹

The QAF further clarifies that: “a ‘new program’ is brand -new: that is to say, the program has substantially different program objectives, program requirements and program-level learning outcomes from those of any existing approved programs offered by the institution.”¹⁰

[Examples of new programs](#) are made available by the Quality Council.

[Flow chart of QAF Overview of the New Program Approval Process](#)

⁹[Definitions — Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

¹⁰[Definitions — Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

2.3 New Program Approval Process

The following are the steps included in the development of new programs, as outlined in the QAF:

1. A **Statement of Interest** is completed by the new program proponent and submitted to the QA Office (**Procedures**);
2. A **Program Proposal Brief** is completed by the program proponent and approved by the Provost, relevant Faculty Undergraduate/Graduate Committee(s), and Faculty Council(s) (**Procedures**);
3. An **External Evaluation** ([QAF 2.2](#)), including a site visit¹¹, is conducted by qualified, [arm's length](#) reviewers, who submit a report on their findings (**Procedures**);
4. A **Program Response and Dean's Response** ([QAF 2.3](#)) are submitted, summarizing the response to the External Reviewers' Report, and plans for implementing the recommendations (**Procedures**);
5. **Institutional Approval** ([QAF 2.4](#)), including approval at [Senate Undergraduate Council](#) or [Senate Graduate and Research Council](#), and then [Senate](#) takes place (**Procedures**);
6. **Submission to the Quality Council** ([QAF 2.5](#)) occurs separately from the submission to the Ministry of Colleges and Universities, and is coordinated by the QA Office; the Appraisal Committee has the ultimate authority to approve or decline new program proposals.
7. **Submission to the Ministry of Colleges and Universities, where applicable**, occurs, separately from the submission to the Quality Council, and is coordinated by [Institutional Analysis and Planning \(IAP\)](#) (**Procedures**);
8. A **Progress Report** will monitor the implementation of the program ([QAF 2.9.2](#)). The Progress Report is internally reviewed and approved by [Senate Undergraduate Council](#) or [Senate Graduate and Research Council](#). The report is subsequently sent to Senate for information (**Procedures**).

Commented [AC6]: New language from the QC.

Commented [AC7]: Monitoring of new programs must continue; however, the QC no longer requires a written follow up report be submitted to the QC **unless** significant additional action/ resources are required to assure the quality of the program. The QC will identify if a newly approved program requires such a report.

A high-level overview of the University's new program approval process flow chart can be found on the [Academic Program Review website](#).

Detailed procedures for new program proposals (steps 1-8) are hyperlinked outside of the IQAP as they are subject to slight changes (i.e., changes in timelines or revisions to the names of institutions or positions, etc.); however, all procedures adhere to the standards outlined within the QAF. No substantial changes are made to the University's procedures without the approval of Senate and the Quality Council. (Note: Editorial changes, changes to deadlines, and similar minor changes do not require such approval.)

Waterloo has developed a website as well as comprehensive templates for the Statement of Interest, Program Proposal Brief (Volume I, II, III), the External Reviewers' Report, Program Response, Dean's Response, as well as the Progress Report. Programs are encouraged to contact the [QA Office](#) at any time for further clarification when developing a new program.

¹¹ All programs will include an in-person site visit, where permissible by public health guidelines.

2.3.1 *New Joint Programs with other Universities*

The University of Waterloo partners with a number of other institutions to offer a variety of joint programs at both the undergraduate and graduate level; these joint programs result in the conferring of a single degree. Excluded from the notion of 'joint' in this context are collaborative programs connected solely at the administrative level in order to assist students to earn mutually independent degrees from each of the partner institutions (e.g., a double degree program - Bachelor of Business Administration from Wilfrid Laurier University and Bachelor of Computer Science from University of Waterloo).

The following principles shall apply to the development process of new joint programs:

- There will be a single new program proposal, which will clearly explain how input was received from faculty, staff and students at each partner institution.
- The selection of arm's length external reviewers will involve participation by each partner institution, including the appointment of an internal reviewer from each partner institution.
- The external review will involve all partner institutions and preferably all sites, if the review is held in person. Reviewers will consult faculty, staff, and students at each partner institution.
- Feedback on the reviewers' report will be solicited from participating units at each partner institution, including the deans.
- A single new program proposal package will be submitted jointly to the Quality Council by all partners.
- All partner institutions will agree on the plan to monitor the new joint program, and participate in this monitoring process.
- If the Quality Council approves a new joint program to commence "with report," each partner institution will sign off on the report before it is submitted to the Quality Council.
- Partner institutions will agree on a common review schedule for the new joint program.

For programs joint with universities outside Ontario, the quality of the program is subject to quality assurance processes in the respective jurisdictions; therefore, the review process must adhere to the procedures outlined in the QAF. It is the responsibility of the Quality Council to determine whether the out-of-province partner is subject to an appropriate quality review process in its own jurisdiction suitably comparable to the Quality Council's assurance processes.

2.3.2 *Statement of Interest*

The proponent of a new program, in consultation with the Dean(s) and Associate Dean(s) of the Faculty/Faculties, completes a Statement of Interest that provides an overview of the proposed program.

Once completed, the Statement of Interest is submitted to the QA Office, and reviewed and approved by the AVPA, AVPGSPA or designate. The proponent for the new program may then

begin to prepare the Proposal Brief.

Procedures for the Statement of Interest

2.3.3 Program Proposal Brief

A Program Proposal Brief (Volumes I, II, III) is completed in consultation with faculty, staff and students and alumni of similar programs. The Proposal Brief must follow the template provided, and address the criteria outlined in the QAF Evaluation Criteria ([QAF 2.1.2](#)).

While crafting the proposal brief, proponents are encouraged to engage internal and external stakeholders in formative conversations relative to their portfolios. As examples, proponents should seek input from their Dean on the feasibility of resources that may be necessary; Cooperative and Experiential Education (CEE) should be consulted if the new program may include work integrated learning. It is best practice to have the Proposal Brief informed by potential resource or other limitations.

A critical element in the development of a new program proposal is a financial viability analysis (FVA) conducted by Institutional Analysis and Planning (IAP). Through an FVA, the proposed program's costs – including faculty salaries, space requirements, and other resources (library, technology, etc.) – are compared to the potential revenues from student tuition and government grant. The outcome of the FVA is a report that accompanies the Brief which is then evaluated by the Faculty Dean and the Provost, who formally approves the financial elements of the program.

The completed Program Brief is submitted to the QA Office, which oversees an internal approval process that includes vetting by the AVPA, AVPGSPA or designate. The program is then submitted for approval to the relevant Faculty Undergraduate or Graduate Committee, and then Faculty Council.

Procedures for the Program Proposal Brief

2.3.4 External Evaluation

The QAF specifies new program proposals should be assessed by external academic reviewers ([QAF 2.2.1](#)) using evaluation criteria outlined in the [QAF 2.1.2](#). In addition, the external reviewers will report on the substance of the new program proposal, comment on the adequacy of existing physical, human and financial resources; and acknowledge any clearly innovative aspects of the proposed program together with recommendations on any essential or otherwise desirable modifications to it ([QAF 2.2.2](#)).

The Review Committee (also known as the Site Visit Team) consists of two [arm's length](#) external reviewers, and an internal support person from within the institution but outside the discipline.

External reviewers will be selected on following criteria ([QAF 2.2.1](#)):

- normally associate or full professors, or the equivalent—will have suitable disciplinary expertise,
- qualifications and program management experience, including an appreciation of pedagogy and learning outcomes

External reviewers will be nominated by the program in Volume III. The Review Committee is selected by the AVPA, AVPGSPA or designate.

The Review Committee evaluates the academic elements of the proposed program by reading the Proposal Brief (Volumes I and II - CVs) and conducting a site visit to the campus where the program will be offered. While the reviewers may identify additional resources that are of value to the proposed program, a consideration of the financial elements (revenues and expenses) of the proposed program is normally beyond the scope of their assessment. The reviewers' findings from the site visit are presented in an [External Reviewers' Report](#), submitted to the QA Office within two weeks of the site visit. The reviewers are provided with a template for this report to ensure that the report meets the criteria outlined in [QAF 2.2.1](#).

Once received, the report is reviewed by the QA Office and AVPA, AVPGSPA or designate to ensure proper completion. Any major issues or errors raised in the report will be addressed with the reviewers by the QA Office or AVPA/AVPGSPA, if appropriate. Any factual errors reported by the program are kept on file by the QA Office with the original report. In exceptional cases where a report does not provide value to the proposed program, a new review team may be sought, and a second site visit or desk review would supersede the original External Reviewers' Report.

The External Reviewers' Report is not public. Internally, the report is shared with the Vice-President Academic and Provost, AVPA or the AVPGSPA and Postdoctoral Affairs, Faculty Dean, Associate Deans Undergraduate or Graduate, AFIW Dean (if applicable), and the Chair/Director of the program.

Procedures for the External Evaluation

2.3.5 Program Response and Dean's Response

Separate responses from the program and the Dean are required. Representatives from the unit proposing the program review the External Reviewers' Report, write a response to each of the reviewers' recommendations, and outline plans for implementing the recommendations. The Proposal Brief is modified, as needed.

Once the QA Office receives the Program Response, it is shared with the relevant Faculty Dean and Affiliated and Federated Institutions of Waterloo (AFIW) Dean, if applicable. The Dean(s) are provided with a template to complete the Dean's Response, in which the Dean addresses the recommendations put forward by the external reviewers, and the program's response to the external reviewers' recommendations. The Dean's response should concentrate on those elements described in [QAF 2.1.1](#).

Procedures for the Program Response and Dean's Response

2.3.6 Institutional Approval

Major or significant changes to the Proposal Brief require that the proposal return through the initial approval process (i.e., Department/School, Provost, and Faculty-level approvals) prior to institutional approvals. The AVPA or AVPGSPA have final authority over whether re-approval is necessary. A new Financial Viability Assessment may also be necessary if substantive changes to resources or revenues have arisen.

The Proposal Brief (Volumes I and II), Program Response, and Dean's Response are submitted to Senate Undergraduate Council or Senate Graduate and Research Council and Senate for approval ([QAF 2.4](#)).

Procedures for Institutional Approval

2.3.7 Submission to & Response from Quality Council

Following Senate approval, the QA Office submits the Proposal Brief (Volume I), External Reviewers Report, Program Response, and Dean's Response, a brief commentary on the qualifications of faculty expertise and supervisory experience, and a submission checklist to the Quality Council Secretariat for approval by the Appraisal Committee ([QAF 2.5](#)).

Once the Quality Council Secretariat acknowledges receipt of the proposal, the program may begin to advertise the program to prospective students. However, any announcements or ads must contain the following statement ([QAF 2.7](#)):

"Prospective students are advised that offers of admission to a new program may be made only after the university's own quality assurance processes have been completed and the Ontario Universities Council on Quality Assurance has approved the program."

The Appraisal Committee evaluates the proposal based on ([QAF 2.6.2](#)):

- Overall sufficiency of the External Review Report(s);
- Recommendations and suggestions made by the external reviewers, including on the sufficiency and quality of the planned human, physical and financial resources;
- Adequacy of the internal responses by the unit and Dean(s) to the recommendations, or otherwise for single department Faculty; and
- Adequacy of the proposed methods for Assessment of Teaching and Learning given the proposed program's structure, objectives, program-level learning outcomes and assessment methods. ([See Evaluation Criteria 2.1.2.4 a\) and b\)](#))

The Appraisal Committee will then make a recommendation to the Quality Council. After considering the recommendation of the Appraisal Committee, the Quality Council will make one of the following decisions: ([QAF 2.7.2](#)):

- a) Approved to commence;

Commented [AC8]: These are new requirements by the QC. They no longer want to receive Volume II (CVs) just a commentary on qualifications of the faculty plus a completed submission checklist.

- b) Approved to commence, with report;
- c) Deferral for up to one year during which time the university may address identified issues and report back; or
- d) Not approved.

The Quality Assurance Secretariat will convey the decision of the Quality Council to the University. Then the QA Office notifies the program proponent/department/school of the Quality Council's official decision.

A decision of “approved to commence with report” is given when significant additional action, such as a large number of new hires and/or other new resources, are required to assure the quality of the program ([QAF 2.6.3](#)). The preparation of the report is the responsibility of the program, in consultation with the dean or deans of the faculties in which the required actions will be implemented. Approval of the report will be the responsibility of the Vice-President, Academic or their delegate. The QA Office will notify the program when their report is due and will review and submit it to the Quality Council on their behalf.

Universities may consult/appeal a decision of b), c), or d) from the Appraisal Committee within 30 days ([QAF 2.7.2](#)). Should the result of this reconsideration be unsatisfactory, the University can appeal the Appraisal Committee’s final recommendation to the Quality Council ([QAF 2.7.2](#)).

Programs will be notified by the Quality Assurance Office as to when they can begin to make offers of admission. Programs may only make offers of admission to new students once the Quality Council and the University have posted the approval of the new program and a brief description of the program on their websites.

Commented [AC9]: New: Waterloo will start posting new programs and their description on the Academic Program Reviews/Quality Assurance website.

After a new program is approved to commence, the program launches with its first student intake within 36 months of the date of approval ([QAF 2.9.1](#)) otherwise, the approval will lapse. The new program enters into the cyclical program review cycle, with the first review taking place no later than eight years following the first intake of students ([QAF 2.9.3](#)).

New undergraduate and/or graduate programs that have been approved within the period since the previous Audit are eligible for selection for the University’s next Cyclical Audit. **Note: an audit cannot reverse the approval of a program to commence.**

Commented [AC10]: This is new language added by the QC.

Procedures for Approval by Quality Council

2.3.8 Submission to & Response from the Ministry

Once the proposal has been submitted to the Quality Council, IAP submits a program proposal to the Ministry of Colleges and Universities (MCU) for approval of proposed tuition and grant weight. Once MCU approval is confirmed, IAP notifies the department/school and applicable university personnel.

2.3.9 Progress Report

A Progress Report is prepared by the program's Chair or Director, submitted to the QA Office and reviewed and approved by the AVPA or AVPGSPA. The submission deadline for the Progress Report is determined on a case-by-case basis but is required no later than 48 months after the program's first student intake. This report satisfies the QAF requirement to ensure the monitoring of new programs (QAF 2.9.2). The purpose of the report is to provide initial data on student progress and implementation of the program, to respond to recommendations and any issues raised in the External Reviewers' Report, and to highlight any additional areas to be considered in the first cyclical review of the new program. In addition, this report will carefully evaluate the program's success in realizing its objectives, requirements, and outcomes, as originally proposed and approved, and any changes that have occurred in the interim, including in response to any Note(s) from the Appraisal Committee.

The Progress Report is internally reviewed and approved by Senate Undergraduate Council or Senate Graduate and Research Council, and subsequently sent to Senate for information. This report is not subject to Quality Council reporting, unless the program received 'approval to commence, with report' (QAF 2.6.3).

Procedures for the Progress Report

Commented [AC11]: he QC no longer requires a written follow up report **unless** significant additional action/ resources are required to assure the quality of the program. This is referred to as "Approval to commence, with report".

"The *with report* condition implies no lack of quality in the program at this point, importantly does not hold up the implementation of the new program, and is not subject to public reference on the Quality Council's website. **The requirement for a report is typically the result of a provision or facility not currently in place but considered essential for a successful program and planned for later implementation.**" (QAF, page 22)

We have adjusted the deadline for progress reports which will be determined on a case-by-case basis and will depend on the program's commitments and the recommendations by external reviewers.

3. EXPEDITED APPROVALS OF NEW PROGRAMS

Proposals for new for-credit Type 2 and 3 graduate diplomas (GDip), as well as, new standalone degree programs arising from a long-standing field in a master's or doctoral program that has undergone at least two Cyclical Program Reviews and has at least two graduating cohorts, follow an expedited approval process ([QAF 3](#)).

These proposals have the same required steps as a New Program Proposal with the exception of the external evaluation and subsequent responses. New graduate diplomas are required to submit a Proposal Brief that addresses the relevant QAF Evaluation Criteria ([QAF 2.1.2](#)).

The Quality Council's Appraisal Committee conducts an appraisal and will then make a recommendation to the Quality Council. After considering the recommendation of the Appraisal Committee, the Quality Council will make one of the following decisions: ([QAF 3.2](#)):

- a) Approved to commence;
- b) Approved to commence, with report;
- c) Not approved.

The Quality Assurance Secretariat will convey the decision of the Appraisal Committee to the Quality Council for information, and then to the University. The QA Office notifies the program proponent of the Quality Council's official decision ([QAF 3.2](#)).

A decision of "approved to commence with report" will only be required when significant additional action, such as a large number of new hires and/or other new resources, are required to assure the quality of the program ([QAF 2.6.3](#)). The QA Office will notify the program when their report is due and will review and submit it to the Quality Council on their behalf.

The University may appeal a decision of b) or c) using the same process for new program appeals in the [QAF 2.7.1 to 2.7.4](#).

The expedited approval process *may* also be used if the institution requests Quality Council endorsement of a graduate field, or if the institution requests an expedited approval for a major modification to an existing program. However, Waterloo has rarely used this process for graduate fields or major modifications. Note: programs created or modified through the Protocol for Expedited Approvals are not normally subject to the institution's Cyclical Audit.

An approved GDip should be added to the Cyclical Program Review Schedule, for review alongside its "parent" program, where one exists. In the absence of an existing "parent" master's or doctoral degree program, best practice would be to have the proposed GDip externally reviewed by desk review or equivalent method.

[Flow chart of QAF Overview of the Expedited Approval Process](#)

Procedures for Expedited Approvals of New Programs

Commented [AC12]: New language from the QC.

Type 1 GDips are now handled as major modifications (as are collaborative programs/specializations – this was changed back in 2016).

Added option of the creation of a new standalone degree from an existing field in a graduate program, with associated criteria, to go through the Protocol for Expedited Approval.

Commented [AC13]: New language

Commented [AC14]: This is new. Waterloo has not undertaken desk reviews in the past. Details have been added to the "Procedures" section.

3.1 Proposals for New Undergraduate Minors, Options, Specializations, Certificates and Diplomas

Proposals for a new for-credit undergraduate minors, options, specializations, certificates, or diplomas require, at minimum, Faculty-level approval, Senate Undergraduate Council and Senate approval ([Appendix A](#)).

New for-credit undergraduate diplomas are considered major modifications and are subject to the approval process for major modifications (see [Section 4](#)). Proposals for new for-credit undergraduate diplomas may be subject to approval by the Ministry of Colleges and Universities for tuition and grant funding. Please consult Institutional Analysis and Planning.

Not-for-credit and for-credit undergraduate or post-graduate diploma programs are not subject to approval or audit by the Quality Council.

4. MAJOR MODIFICATIONS TO EXISTING PROGRAMS

4.1 Definition of a Major Modification

Major modifications are made by institutions in order to ([QAF 4](#)):

- Implement the outcomes of a cyclical program review;
- Reflect the ongoing evolution of the discipline;
- Accommodate new developments in a particular field;
- Facilitate improvements in teaching and learning strategies;
- Respond to the changing needs of students, society, and industry; and/or
- Respond to improvements in technology.

Such modifications provide an opportunity for continuous improvement, improving the student experience and staying current with the discipline.

According to the QAF, the purpose of identifying major modification to existing programs is to ensure “their approval through a robust quality assurance process” and to “assure stakeholders, including the university, students, the public, and the government of the ongoing quality of the institution’s academic programs.”¹²

A [major modification](#) is defined as one or more of the following program changes ([QAF 4](#)):

- Requirements that differ significantly from those existing at the time of the previous cyclical program review;
- Significant changes to the program-level learning outcomes that do not, however, meet the threshold of a new program;
- Significant changes to the program’s delivery, including to the program’s faculty and/or to the essential physical resources as may occur, for example, where there have been changes to the existing mode(s) of delivery (e.g., different campus and/or online/hybrid delivery – see below);
- Change in program name and/or degree nomenclature, when this results in a change in learning outcomes; and/or
- Addition of a single new field to an existing graduate program. Note that universities are not required to declare fields for either master’s or doctoral programs. Also note that the creation of more than one field at one point in time or over subsequent years may need to go through the Expedited Protocol.

¹² [Quality Assurance Framework \(oucqa.ca\)](#) (2021)

Waterloo defines a *significant change* as revisions or additions (i.e., major modifications) that substantially impact a program. For example, changing *up to* one third of the courses or requirements to a program. Changes that impact *more* than a third of courses or requirements may be considered a new program. The AVPA or AVPSGA will make the decision as to whether the changes constitute a new program, requiring the initiation of the new program protocol.

When changing the mode of delivery of a program to online for all or a significant portion of a program that was previously delivered in-person, consider the following criteria:

- Maintenance of and/or changes to the program objectives and program-level learning outcomes;
- Adequacy of the technological platform and tools;
- Sufficiency of support services and training for teaching staff;
- Sufficiency and type of support for students in the new learning environment; and
- Access.

All major modifications to existing programs require internal approvals. Changes that impact collaborations with other courses, programs, departments/schools and Faculties require consultation in advance of bringing the change forward for approval. IAP must be consulted as some major modifications can impact tuition and grant funding from the Ministry.

In addition, academic support units such as Centre for Teaching Excellence (CTE), Co-operative and Experiential Education (CEE), and the Library must be consulted to assess any impact of the proposed changes.

Furthermore, an assessment of the impact of the proposed modification will have on the program's students, and input from current students and recent graduates of the program must be included in the documented rationale for the major modification. Specifically, including a statement on the way in which the proposed major modification will improve the student experience.

Commented [AC15]: This is a new requirement for all major modifications.

In such cases where a submission of a major modification to the Quality Council is for expedited approval, the submitted Proposal requires:

- Description of, and rationale for, the proposed changes; and
- Application of the relevant criteria, as outlined in Framework Section [2.1.2](#), to the proposed changes. The University will determine which criteria are deemed relevant for each Proposal and, to meet their own needs and in recognition of the diversity in institutional strategies, institutions may include their own quality assurance requirements, including for example, consideration of equity, diversity and inclusion, special missions and mandates, and student populations that are being encouraged by governments, institutions, and others.

Any program closure will be considered a major modification and will follow the approval process listed below. The internal approval process will ensure that the proposed modification is in alignment with the relevant program-level learning outcomes.

Commented [AC16]: New inclusion from the QC.

Major modifications are approved initially at the department/school level and Faculty level (including relevant Faculty Undergraduate or Graduate Committee, and Faculty Council). Subsequently, the major modification is approved at Senate Undergraduate Council or Senate Graduate and Research Council and, finally, by Senate. Major modifications are not subject to Quality Council approval; however, all major modifications are submitted and subject to review by the Quality Council on an annual basis (QAF 4.3). The Quality Council has the final authority to decide if a major modification constitutes a new program and, therefore, must follow the Protocol for New Program Approvals. Note: major modifications are not normally subject to the institution's Cyclical Audit.

Commented [AC17]: This is new.

Level of approval and reporting for major modifications is listed in [Appendix A](#).

If there is uncertainty as to whether a particular change is major/significant or minor, the program should contact the [QA Office](#). The AVPA or AVPGSPA will be the final arbiter for decisions with regards to major modifications for undergraduate and graduate programs, respectively.

Procedures for Major Modifications

4.2 Minor Modifications

Modifications that do not meet the threshold of a major modification are considered to be minor. These would minimally include: changes to an existing Emphasis, Option, or Minor Program; the creation of a new micro-credential(s); undergraduate certificate(s); and laddering, stacking or similar options or comparable elements. While these modifications do not need Quality Council appraisal and approval, the QC requires that the University of Waterloo detail how the changes will be made and the quality of such changes will be assured.

Commented [AC18]: This is new from the QC.

Minor modifications to academic programs for credit (e.g., Emphasis, Specialization, Option, or Minor, undergraduate certificate(s) or comparable elements) are approved at the department/school level, Faculty level (including relevant Faculty Undergraduate or Graduate Committee, and Faculty Council), and then subsequently approved at Senate Undergraduate Council or Senate Graduate and Research Council. Undergraduate Council or Senate Graduate and Research Council are empowered to approve minor changes on behalf of Senate, as per [Senate Bylaw 2](#).

Minor modifications for non-credit or alternative credentials offerings such as micro-credential(s), laddering, stacking or similar options, or comparable elements, are approved by an [Alternative Credentials Approval Committee](#) which is chaired by the AVPA. New offerings are submitted to this Committee for review and approval using a standardized template. The template requires that the offerings detail how they will solicit feedback from participants and provide a timeframe for ongoing evaluation. The Committee will review the report to assess indicators of

the quality of the offering and will recommend steps taken to address any problems that are identified.

Minor modifications are not subject to Quality Council review or reporting. Level of approval and reporting for minor modifications is listed in [Appendix A](#).

Procedures for Minor Modifications

Commented [AC19]: The QC required that we explain how these offerings will be approved and their quality assured.

Note: The wording here is deliberately left a bit loose as ACAC is a relatively new committee and its processes are evolving.

5. CYCLICAL REVIEWS OF EXISTING PROGRAMS

5.1 Purpose of Cyclical Reviews

Cyclical reviews of academic programs are conducted to:

- help each program achieve and maintain the highest possible standards of academic excellence, through systematically reflecting on its strengths and weaknesses, and look forward to determine what actions would further enhance quality in the program;
- assess the quality of the program relative to counterpart programs in Ontario, Canada and internationally;
- meet public accountability expectations through a credible, transparent, and action-oriented review process;
- create an institutional culture that values continuous improvement, while recognizing the significant workload implications such proactive steps require.

A key outcome from a Cyclical Review is the Final Assessment Report which forms the basis of a continuous improvement process that monitors the recommendations in the Implementation Plan.

Given its commitment to continuous improvement and excellence in academic programs, the University of Waterloo also reviews undergraduate diplomas, minors, options, and specializations, which exceeds the requirements of the QAF. Offerings such as participation certifications and language diplomas are excluded from a cyclical review.

Academic programs are typically, but not always, associated with an academic department. In cases where program administration spans multiple academic units, provisions are made to review these offerings (joint programs and multi- or inter-disciplinary programs) in a way that is appropriate for the University. Faculty-based programs – those administered through the Faculty Dean’s Office – follow the same process as their counterparts housed in traditional academic departments/schools.

Waterloo encourages combined or ‘augmented’ reviews (i.e., where related undergraduate and graduate are reviewed concurrently) where feasible as such reviews tend to be more efficient. More importantly, augmented reviews often have academic merit, as there are typically interactions between the undergraduate and graduate programs, so benefits of the program review process are greater when the programs are considered together.

Note: regardless of the “bundling” of program reviews, the quality of each academic program and the learning environment of the students in each program will be explicitly addressed in the self-study and the external reviewers’ report.

5.2 Frequency of Reviews

Waterloo’s cyclical program reviews are generally scheduled to take place every seven years.

According to the QAF, program reviews must be reviewed in a cycle not to exceed eight years ([QAF 5.1.1](#)). To achieve alignment between the timing of reviews of undergraduate and graduate programs, the scheduling of the review can be adjusted, with approval from the AVPA or AVPGSPA, but the interval between reviews shall not exceed eight years. Failure to complete the review within the eight-year timeline would put the University of Waterloo out of compliance with the QAF. Every effort is made at all levels of the University to adhere to the QAF timelines.

The program [review schedule](#) is posted on the Academic Program Review website and is updated annually. Note: programs which have been closed or for which admission has been suspended are out of scope. The review schedule includes all program offerings, including those that are joint/inter-institutional, multi-disciplinary, interdisciplinary or at multiple sites. The Schedule will also include all modes of program delivery and can reflect independent or concurrent review of a university's undergraduate and graduate programs, and/or with other departments and academic units.

Commented [AC20]: This is new.

[Flow chart of QAF Overview of Cyclical Program Review Process](#)

5.3 Cyclical Program Review Process

The cyclical review process typically takes up to 18 months to complete. There are five components to complete the cyclical program review, as outlined in the QAF:

1. The **self-study** ([QAF 5.1.3](#)) is prepared by faculty and staff with input from faculty, students and alumni of the program. Professional programs must also seek feedback from employers and/or professional associations. ([Procedures](#));
2. An **external evaluation** ([QAF 5.2.1](#)), including a site visit¹³, is conducted by qualified, [arm's length](#) reviewers, who submit a report on their findings ([Procedures](#));
3. The **Program Response, Implementation Plan & Dean's Response** ([QAF 5.3.2](#)) are submitted, summarizing the response to the External Reviewers' Report and plans for implementing the recommendations ([Procedures](#));
4. A **Final Assessment Report (FAR)** ([QAF 5.3.2](#)), which is a synopsis of the self-study, reviewers' recommendations, Program and Dean's Responses, and the Implementation Plan, is prepared by the QA Office ([Procedures](#));
5. **Approval and Reporting** ([QAF 5.4.1](#), [5.4.2](#)) requires that the FAR is reviewed by the AVPA or AVPGSPA, then the Program Chair or Director and the Dean for factual corrections. The FAR is then reviewed and approved by [Senate Undergraduate Council](#) or [Senate Graduate and Research Council](#) (note: these bodies have delegated authority to approve such items on behalf of Senate), and then sent to [Senate](#) for information. Upon Senate approval, the FAR is sent to the Program Chair or Director, Dean and Associate Dean and is posted publicly on the University's website. The FARs are submitted annually to the Quality Council ([Procedures](#))

Commented [AC21]: This is new.

Commented [AC22]: his is new and seen as a formal transfer of accountability to the Program and Dean to follow through with the actions laid out in the recommendations and Implementation Plan.

In order to ensure that the full quality improvement value of the cyclical review process is

¹³ All programs will include an in-person site visit, where permissible by public health guidelines.

attained, the University of Waterloo has monitoring and reporting steps as required in the [QAF 5.4.1](#):

6. The **Progress Report** provides an update on progress made on the Implementation Plan. The Report is reviewed and approved by Senate Undergraduate Council or Senate Graduate and Research Council, as appropriate, then sent to Senate for information, whereupon it is posted on the University's website. This report is not subject to QC reporting ([Procedures](#));

Detailed procedures for cyclical program reviews (steps 1-7) are hyperlinked outside of the IQAP as they are subject to slight changes (i.e., changes in timelines or revisions to the names of institutions or positions, etc.); however, all procedures adhere to the standards outlined within the QAF. Any substantial changes made to these procedures requires the approval of Senate and the Quality Council. Note: Editorial changes, changes to deadlines, and similar minor changes are not subject to such approval.

The QA Office maintains the [Academic Program Reviews website](#) which includes resources for those involved in any stage of the cyclical review process, including comprehensive templates for the self-study (Volume I, II, III), External Reviewers' Report, Program Response and Implementation Plan, Dean's Response, and Final Assessment Report (FAR), as well as the Two-Year and Five-Year Progress Reports. Programs are encouraged to contact the [QA Office](#) at any time for further clarification on matters pertaining to their cyclical program review.

5.3.1 Self-Study

As per Waterloo's [schedule of cyclical program reviews](#), the QA Office, on behalf of the AVPA or AVPGSPA, notifies the Chair/Director of the program of the upcoming review approximately a year in advance of the deadline for submission of the self-study. The programs and any associated "bundling" of programs are denoted in the program review schedule and distinct versions of each program must be identified at the beginning of the process, including the various delivery modes and sites.

An orientation presentation is organized by the QA Office, which covers the nature of the review process, an overview of the self-study template and the associated timelines. The preparation of the self-study, consisting of three volumes of documentation (Volume I, II, III), has typically required 8-10 months. This duration is a result of the need for meaningful consultation with stakeholders including faculty, students, staff and alumni, as well as feedback on professional programs from employers and/or professional associations; receipt of partners' contributions (e.g., cooperative education, library, and others); the gathering of faculty data including access to up-to-date CVs; and the allocation of time for program leaders to engage in a broad-based, reflective, forward-looking and critical analysis.

Commented [AC23]: Expanded consultation required.

Each program receives a self-study (Volume I) template pre-populated with numerical data relevant to their program(s). These data quantify critical program attributes – student demand, enrollments, and retention; faculty teaching and students' perceptions of quality; research output and funding; and composition of the program's faculty and staff. The intention of providing these data is to allow

the program to interpret the quantitative representation in ways that advance the goals of the review – identifying strengths and opportunities for enhancement.

Data for the self-study are provided primarily by IAP, reflecting centrally compiled institutional data, and ensuring consistency and integrity in definitions, sources and dates. These data are for internal uses and not publicly available. In cases where programs have concerns with the data that are provided, opportunities exist in the self-study process to verify the validity of these data with IAP, the QA Office, and other sources.

The cyclical review covers the seven previous fiscal years (spring/fall/winter), with emphasis on the most recent years.

The structure and content of the self-study follow the requirements of the QAF ([QAF 5.1.3.](#)). Programs and ultimately external reviewers are required to articulate and evaluate:

- consistency of the program’s learning outcomes with the institution’s mission and Degree Level Expectations, and how graduates achieve those outcomes;
- program-related data and measures of performance, including applicable provincial, national and professional standards (where available);
- integrity of the data;
- [evaluation criteria and quality indicators \(QAF 5.1.3.1\)](#);
- Identify any unique curriculum or program innovations, creative components, or significant high impact practices;
- concerns and recommendations raised in previous reviews (including items flagged for monitoring or follow-up with the QC for new programs undergoing their first cyclical review);
- areas identified through the self-study as requiring improvement;
- areas identified as holding potential for enhancement and/or opportunities for curricular change as identified by the program’s faculty, staff and/or students;
- academic services that directly contribute to the academic quality of each program under review;
- participation of program faculty,¹⁴ staff, students, and alumni in the self-study

The completed self-study is subject to review and approval of the AVPA, AVPGSPA or designate.

All documentation associated with the self-study is confidential and not publicly available.

Procedures for Completing the Self-Study

5.3.2 External Evaluation

The QAF specifies that the review of existing programs should be assessed by external academic reviewers guided by [QAF 5.2](#) using the QAF’s evaluation criteria in [QAF 5.1.3.1](#). The Review

¹⁴ Faculty who regularly teach in the program, and faculty from the Affiliated and Federated Institutions of Waterloo (AFIW) are to be consulted.

Committee consists of two external reviewers who are [arm's length](#) from the program under review, one from inside and one from outside the Province of Ontario, and an internal support person, as needed, from within the institution, but outside the program/discipline.

External reviewers will be selected on following criteria ([QAF 5.2.1](#)):

- normally associate or full professors, or the equivalent—will have suitable disciplinary expertise,
- qualifications and program management experience, including an appreciation of pedagogy and learning outcomes

External reviewers (including employers and/or professional associations related to professional programs) are nominated by the program in Volume III. From the full list of nominees, the Review Committee (also known as the Site Visit Team) will be selected, as appropriate, by the AVPA, AVPGSPA or designate. The criteria for selection of the reviewers include at minimum associate or full professor level, previous administrative leadership, evidence of current research and teaching, and similarity of the externals' academic discipline to the program(s) being reviewed. External reviewers for professional programs will be selected based on length and quality of expertise in industry or profession as well as current level of activity in the field.

Commented [AC24]: This is new from the QC.

The Review Committee will evaluate the program by reading the self-study and Volume II (CVs) and conducting a site visit. During the site visit, the AVPA, AVPGSPA or designate ensure the reviewers understand their role and respect the confidentiality of the review process. During the site visit, the reviewers meet with faculty, staff, students, and administrators connected to the program(s) under review and view related facilities.

Commented [AC25]: Referenced to in-person site visits removed. The criteria for virtual site visits is included in the Procedures document.

The reviewers are provided with an [External Reviewers' Report template](#) that includes the criteria outlined in the [QAF 5.2.1](#). Reviewers are instructed to present their findings from the site visit in one joint report using the External Reviewers' template and submit it to the QA Office. Reviewers are asked to identify and commend the notably strong and creative attributes of each discrete program documented in the self-study, as well as, each discrete program's respective strengths, areas for improvement, and opportunities for enhancement. In addition, reviewers are asked to provide evidence of any significant innovation or creativity in the content and/or delivery of the program relative to other such programs. This report must include a minimum of three recommendations for specific steps to be taken that will lead to the continuous improvement of the program, distinguishing between those the program can itself take and those that require external action. Reviewers must articulate and demonstrate the value of any suggested additional resources, such as faculty complement and/or space requirements, and how these are directly tied to issues of program quality or sustainability. The QA Office requests to receive this report within two weeks of the site visit.

Commented [AC26]: This is new from QC.

Commented [AC27]: This is new from QC.

Once received, the report is reviewed by the QA Office and AVPA, AVPGSPA or designate to ensure proper completion. Any major issues or errors identified in this review are addressed with the reviewers by the QA Office, and AVPA or AVPGSPA, if appropriate. Any factual errors reported by the

program are kept on file by the QA Office with the original report. In the unlikely case where a report does not provide sufficient value to the program under review, a new Review Committee may be sought, and a second site visit or desk review conducted which would supersede the original External Reviewers' Report.

The External Reviewers' Report is not publicly available. The document is shared internally with the Vice-President Academic and Provost, AVPA or AVPGSPA, Faculty Dean(s), Associate Deans Undergraduate or Graduate, AFIW Dean (if applicable), and the Chair/Director of the program.

Procedures for the External Evaluation

5.3.3 Program Response, Implementation Plan and Dean's Response

Representatives from the program, typically those responsible for the development of the self-study, review the External Reviewers' Report and write a response to each of the reviewers' recommendations using a template provided by the QA Office. The program also drafts a plan for the implementation of the recommendations and prioritizes recommendations selected for action. Once the QA Office receives the Program Response and Implementation Plan, the documents are shared with the relevant Faculty Dean(s) and, if applicable, AFIW Dean. The Dean(s) is provided with a template to complete the Dean's Response.

In their response, the Dean reflects upon the actions the program proposed in their self-study report, the recommendations put forward by the external reviewers, and the program's response to the external reviewers' recommendations and their Implementation Plan. The Dean is asked to comment specifically on the consistency and alignment of the program's intended actions with Faculty- and University-level priorities. Moreover, the Dean addresses any Faculty resource implications that may be necessary for the program to respond effectively to the recommendations.

Naturally (and appropriately), there may be instances where the program's and Dean's assessments of future pathways may not be entirely aligned. In such cases, these stakeholders are encouraged to address any differences. Collectively, the Program Response and the Dean's Response should provide clarity to the program, the Faculty, and the University on:

- what actions will follow from specific recommendations and prioritizes recommendations selected for action;
- any changes in organization, policy or governance that would be necessary to follow the recommendations;
- resources – financial or otherwise – required to support the implementation of selected recommendations;
- who will be responsible for providing resources;
- a proposed timeline and responsibility for oversight for implementation of any of those recommendations; and
- priorities for implementation and realistic timelines for initiating and monitoring actions.

The details, most of which are verbatim, from the Program Response, Implementation Plan, and Dean’s Response are used by the QA Office to prepare the Final Assessment Report (FAR); however, the Program Response and Dean’s Response documents are not publicly available.

Procedures for Completing the Program Response, Implementation Plan and Dean’s Response

5.3.4 Final Assessment Report

The Final Assessment Report (FAR) is the key outcome of a cyclical review and forms the basis of a continuous improvement process that monitors the recommendations in the Implementation Plan. The QA Office prepares the FAR and it is reviewed by the AVPA or AVPGSPA. The FAR is a synopsis of the entire cyclical review and is based on information extracted, in many cases verbatim, from the self-study, External Reviewers’ Report, Program Response and Dean’s Response. The FAR identifies strengths of the program, opportunities for program enhancement, and sets out an implementation plan for all of the external reviewer’s recommendations (except, where an approved rationale is provided for not including a specific recommendation(s)). Furthermore, any additional recommendations that the program/unit, the Dean(s) and/or the University may have identified as requiring action as a result of the program’s review will be included in the FAR.

The FAR includes an Executive Summary, and Implementation Plan, which outlines who is responsible for providing resources for the recommendations, who is responsible for acting on the recommendations, and timelines for acting on and monitoring the implementation of the recommendations ([QAF 5.3.2](#)). The Final Assessment Report will not include any confidential information.

Procedures for Completing the Final Assessment Report (FAR)

5.3.5 Approval and Reporting

After the FAR and associated Implementation Plan are reviewed by the AVPA or AVPGSPA, they are shared with the Program Chair or Director and the Dean for review of any factual corrections. Before they go to Senate for information they are reviewed and approved by members of Senate Undergraduate Council or Senate Graduate and Research Council ([note: these bodies have delegated authority to approve such items on behalf of Senate](#)). Once through Senate, they are sent to the Program Chair or Director for them to “own” and act on, as appropriate, and are posted publicly on the [Academic Program Reviews](#) website and the website of any affiliated institution. Programs are also encouraged to post the FAR and associated Implementation Plan on their own websites. The FARs, including the Implementation Plans, are submitted annually to the Quality Council and to the Board of Governors. The annual report and related Cyclical Program Review processes will occasionally be reviewed for compliance by the Quality Council and, if issues are found, the Quality Council may decide to initiate a Focused Audit (see [Section 6](#)).

Commented [AC28]: A new requirement from the QC.

Commented [AC29]: New.

Commented [AC30]: Also new.
A Focused Audit is a mini-audit added to closely examine a specific aspect(s) of the university’s QA practices/processes arising from causes for concern from a Cyclical Program Review or triggered by other QA concerns of a systemic nature.

Procedures for Approval and Reporting

5.3.6 Progress Report

The Program Chair or Director is responsible for the preparation and submission of a Progress Report, submitted approximately four years after the start of each cyclical review. In this report, programs are asked to outline their progress on their Implementation Plan from their last program review. This report is an opportunity for the program to explain any circumstances that have altered the original implementation plan, address any significant developments or initiatives that have arisen since the program review process or that were not contemplated during the review, and report on anything else the Program Chair or Director believes is appropriate to bring to Senate concerning the program.

The progress report is reviewed by the AVPA or AVPGSPA, and subsequently approved by Senate Undergraduate Council or Senate Graduate and Research Council. Finally, the progress report is sent to Senate for information and posted publicly on the [Academic Program Reviews](#) website.

Procedures for Completing the Progress Report

5.4 Programs at Federated or Affiliated Institutions

The University of Waterloo has one federated university (St. Jerome's University) and three affiliated university colleges (Conrad Grebel University College, Renison University College, United College). All academic programs offered completely by, or in conjunction with, these Affiliated and Federated Institutions of Waterloo (AFIW) fall under the purview of the University of Waterloo's IQAP and follow the same quality assurance process and standards as other programs offered by the University of Waterloo. When a program is primarily based within one of the AFIW, the lead role for the program review is taken by the relevant institution.

For a number of Waterloo programs, a substantial contribution is made to program delivery by one or more of the AFIW, and in a few cases there is a parallel unit to the Waterloo department primarily responsible for the delivery of the program. Success in such situations is facilitated by active cooperation and communication between the units involved, and it is expected that such units will use the review process as an opportunity to explore ways in which the program(s) under review can be strengthened. In such cases the following principles should apply:

- the Waterloo department in which the program is housed will be primarily responsible for preparation of the self-study, for hosting site visitors, and for responding to recommendations;
- the self-study should accurately reflect the role of the AFIW in the delivery of the program;
- the Waterloo unit is responsible for ensuring that there is meaningful consultation with the AFIW units (or where there is no unit, colleagues who are involved in the delivery of the program to a considerable degree) during the preparation of the self-study and the response to recommendations;

Commented [AC31]: New. Changed "Two-Year Progress Report" to Progress Report and updated the deadline to fall mid-cycle giving programs more time to implement the actions in their implementation plan.

- in cases where implementing recommendations may require changes to processes and practices not only with the Waterloo units but within the AFIW as well, program and Deans' responses to the recommendations should clearly indicate what steps will be taken in each institution. If a recommendation is to be acted on in one unit but not another, a rationale should be provided.

Commented [AC32]: Clarification of expectations for programs with AFIW involvement.

Conversely, for programs whose delivery is primarily the responsibility of a unit within one or more AFIW, appropriate involvement of relevant Waterloo departments or colleagues in the preparation of self-studies and response to recommendations is required.

The Affiliated and Federated Institutions of Waterloo may opt to have their program reviews considered at their own councils, in parallel to their review and approval at Senate Undergraduate Council or Senate Graduate and Research Council. The [Final Assessment Reports \(FARs\)](#) and [Progress Reports](#) for AFIW-based programs will be centrally posted on the Academic Program Reviews website as well as on the AFIW's own website.

5.5 Programs Joint with other Universities

The University of Waterloo partners with a number of other institutions to offer a variety of joint programs at both the undergraduate and graduate level; these joint programs result in the conferring of a single degree. Excluded from the notion of 'joint' in this context are collaborative programs connected solely at the administrative level in order to assist students to earn mutually independent degrees from each of the partner institutions (e.g., a double degree program - Bachelor of Business Administration from Wilfrid Laurier University and Bachelor of Computer Science from University of Waterloo).

Procedures for joint programs with other universities

In the case of joint programs with other postsecondary institutions in Ontario, the participating institutions will agree on a common review schedule. Cyclical reviews will be conducted according to the IQAP of the institution administering the review (usually the institution at which the current director holds appointment) and under the leadership of that institution's program director. For purposes of consistency, the institution that holds directorship of the joint program at the beginning of the cyclical review will be responsible for leading the process through to the completion of the Final Assessment Report, Implementation Plan, and the Progress Report.

For programs joint with universities outside Ontario, the quality of the program is subject to quality assurance processes in the respective jurisdictions; therefore, the review process must adhere to the procedures outlined in the QAF. It is the responsibility of the Quality Council to determine whether the out-of-province partner is subject to an appropriate quality review process in its own jurisdiction suitably comparable to the Quality Council's assurance processes. Waterloo includes information in the self-study relevant to the out-of-province offering. The review may not necessarily require a site visit to the other institution; however, the program includes information that would normally be gained during a site visit about the components of

the program completed outside Ontario (e.g., video, photos, floor plans, etc.).

5.6 Accredited Programs

Beyond the Quality Assurance process, many academic programs are evaluated and accredited by organizations in their disciplines. Examples at the University of Waterloo include Engineering programs that are accredited by [CEAB](#) while the School of Planning is accredited at the Provincial and Federal levels. It is important to understand the similarities and differences between accreditation processes and the Institutional Quality Assurance Process.

According to the Quality Council, accreditation is described as “a process by which a program or institution is evaluated to determine if it meets certain pre-determined minimal criteria or standards.” Quality assurance, on the other hand, is described as “as on-going and continuous evaluation for the purpose of quality improvement. Quality assurance processes include assessing, monitoring, guaranteeing, maintaining and improving.”¹⁵ Inherently, accreditation typically asks if a program is meeting the minimum requirements to ensure graduates have necessary attributes to engage professionally. The IQAP process, as articulated throughout this document, concentrates on continuous improvement with systematic, transparent monitoring by (internal) stakeholders.

Despite the differences in objectives, these two processes have overlapping elements. To support programs that have accreditation requirements, the University’s IQAP, at the discretion of the AVPA or AVPGSPA may:

- allow programs’ timelines for Quality Assurance to be modified to coincide with accreditation, provided that timeline does not exceed the maximum interval between cyclical reviews;
- allow external site visits by accreditation and program reviewers to occur concurrently; and
- allow content (data, analyses, or evaluations) developed for accreditation processes to be used for Quality Assurance when the accreditation materials directly satisfy the IQAP requirements.

The Associate Vice Presidents and the QA Office encourage open and frank conversations with programs about the opportunities to reduce workloads while still maintaining the integrity of the Quality Assurance process.

In the event that the Associate Vice Presidents allow elements of a cyclical program review to be substituted or augmented with elements from an accreditation review, a record of each substitution or addition will be kept as well as a record of the AVP’s decision making ([QAF 5.5](#)). A Record of Substitution or Addition, and the grounds on which decisions were made, is eligible for

¹⁵ [5.5 Use of Accreditation and Other External Reviews in the Institutional Quality Assurance Process — Ontario Universities Council on Quality Assurance \(oucqa.ca\)](#)

Cyclical Audit by the QC.

Commented [AC33]: New.

6. AUDIT PROCESS

The Quality Council will audit each university once every eight years. An audit provides necessary accountability to post-secondary education's principal stakeholders ([QAF 6](#)). As the QAF states,

"the objectives of the Cyclical Audit...are to ensure transparency and accountability in the development and review of academic programs, to assure students, citizens and the government of the international standards of quality assurance processes, and to monitor the degree to which a university has:

- a) Improved/enhanced its quality assurance processes and practices;
- b) Created an ethos of continuous improvement; and
- c) Developed a culture that supports program-level learning outcomes and student-centred learning."¹⁶

Cyclical Program Reviews that were undertaken within the period between audits and any new undergraduate and/or graduate programs that have been approved since the previous audit are eligible for selection for the university's next Cyclical Audit. **Note that an audit cannot reverse the approval of a program to commence.**

Commented [AC34]: This is new.

The University is required to complete the following:

- participate in a half-day briefing with the Quality Council Secretariat and an Audit Team member approximately one-year prior to the scheduled Cyclical Audit;
- prepare an institutional self-study;
- describe the process for the preparation of the institutional self-study;
- assign responsibility for the preparation of the self-study and submission of the self-study and desk audit documentation to the Quality Council Secretariat;
- establish the schedule for the site visit so that the audit team meet with all the stakeholders (listed in [QAF 6.2.6](#));
- submit a report on the factual accuracy of the audit report draft;
- if necessary, submit a follow-up report frame with details about how the issues have been addressed;
- if necessary, make changes in the follow-up report;
- if required, participate in a focused audit and act accordingly;
- publish the Audit Report, absent any confidential information, on its website;
- publish the Follow-up Response Report, as well as the associated auditors' report on its website; and
- publish any Focused Audit Report on its website.
- The AVPA and AVPGSPA, with support from the QA Office, are jointly responsible for drafting the institutional self-study. The following academic support units that are involved in new programs, cyclical reviews, and major modifications, will be asked for

Commented [AC35]: This is a new requirement.

¹⁶ [Quality Assurance Framework \(oucqa.ca\)](#) (2021)

their input into the self-study: Institutional Analysis and Planning (IAP), Graduate Studies and Postdoctoral Affairs Office, Centre for Teaching Excellence, Centre for Extended Learning, Registrar's Office, Marketing and Undergraduate Recruitment, Co-op and Experiential Education, the Library, EDI-R and the Indigenous Relations Office and others as needed.

A lack of compliance with concerns raised from an audit can result in the Quality Council suspending enrolment in a particular program(s) or delaying or suspending new program approvals ([Part One: QAF Principles](#)). In addition, the University of Waterloo may be required to participate in a subsequent Focused Audit ([QAF 6.3](#)) when the Quality Council has some concerns about the quality assurance processes at the University.

Appendix A: Sequence of Approval and Reporting

IQAP Item	Faculty-Level	Externally Reviewed	SUC*/SGRC*/ACAC*	Senate	Quality Council	Ministry
Cyclical Program Reviews						
Final Assessment Report (FAR)	Dean's Signature	Yes	Approval	Information	Information	N/A
Progress Report	Dean's Signature	No	Approval	Information	No	N/A
New Program Proposals						
Undergraduate Major	Approval	Yes, if 'brand-new'	Approval	Approval	Yes, if 'brand-new'	Yes, in non-core areas ¹⁷
Undergraduate Degree	Approval	Yes	Approval	Approval	Approval	Yes, in non-core areas ¹⁷
Type 2 & 3 Graduate Diploma	Approval	No	Approval	Approval	Approval	Yes, if Type 3 GDip
Graduate Degree	Approval	Yes	Approval	Approval	Approval	Yes
Progress Report for new programs	Dean's Signature	No	Approval	Information	Yes, if 'approved to commence, with report'	No
Major Modifications						
Major Modification to Existing Program	Approval	No	Approval	Approval	Information	Information
Minor Modification to Existing Program	Approval	No	Approval	No	No	No
New minor modification, non-credit (e.g., micro-credentials, badges etc.)	No	No	ACAC Approval	No	No	Yes- if OSAP eligible
New Undergraduate Diploma, Minor, Option, or Certificate	Approval	No	Approval	Approval	Information	Information, except UG Diplomas in non-core areas ¹⁷
Graduate Field	Approval	No	Approval	Approval	Information	No
Graduate Specialization, Type 1 GDip	Approval	No	Approval	Approval	Information	No
Graduate Collaborative Program	Approval	No	Approval	Approval	Information	Yes- if tuition or grant funding is impacted

*As delegated by Senate

Commented [AC36]: New addition.

Commented [AC37]: Pre-2016 were treated as new programs using New Program approval protocol but are now handled as a major modification.

¹⁷ Consult Institutional Analysis and Planning (IAP) for Ministry core/non-core areas.

Appendix B: Procedures

Institutional Quality Assurance Process (IQAP) Procedures

(Last modified: January 18, 2024)

2. New Programs

New program development is described in four phases at the University of Waterloo:

[Phase One – Preparation](#)

[Phase Two – Proposal Development](#)

[Phase Three – Approval](#)

[Phase Four – Implementation & Follow-up](#)

An overview of the steps in each phase is illustrated in a [flow chart](#) on the Academic Program Reviews website.

2.3.1 Procedures for New Joint Programs with other Universities

The following principles shall apply to the development process of new joint programs:

- There will be a single new program proposal, which will clearly explain how input was received from faculty, staff and students at each partner institution.
- The selection of arm's length external reviewers will involve participation by each partner institution, including the appointment of an internal reviewer from each partner institution.
- The external review will involve all partner institutions and preferably all sites, if the review is held in person. Reviewers will consult faculty, staff, and students at each partner institution.
- Feedback on the reviewers' report will be solicited from participating units at each partner institution, including the deans.
- A single new program proposal package will be submitted jointly to the Quality Council by all partners.
- All partner institutions will agree on the plan to monitor the new joint program, and participate in this monitoring process.
- If the Quality Council approves a new joint program to commence "with report," each partner institution will sign off on the report before it is submitted to the Quality Council.
- Partner institutions will agree on a common review schedule for the new joint program.

2.3.2 Procedures for the Statement of Interest

In Phase One, the program proponent for a new program discusses the idea with the Department/School and the Dean's Office. Once general support for the new program is provided by the Dean, the next step is to prepare a Statement of Interest ([template provided](#)).

The Statement of Interest is a brief 1-2 page document that accomplishes the following:

- Provides an overview of the new program including its focus, the learning outcomes (i.e., [UDLEs](#) or [GDLEs](#)) for the program and the factors that prompted the decision to create a new program;
- Discusses how the new program will be different from and complementary to existing programs in terms of learning outcomes;
- Describes how the program will benefit students;
- Describes the credential offered and proposed structure and format of the new program including whether the program will be offered as a co-op program, a regular program, or both; whether the program will be available full-time or part-time; and online or on-campus, etc.;
- Proposes a suggested start date for the program and projected enrolment (i.e., Canadian vs. International);
- Proposes a tuition rate (i.e., will the program charge an existing tuition rate or an alternative one?); and
- Identifies any resource requirements (e.g., new faculty or staff positions, renovations and/or new space, development of online courses, etc.)

Once completed, the Statement requires endorsement by signature from the appropriate Associate Dean (undergraduate or graduate) as an indication of support for the academic elements of the program, as well as endorsement by signature from the Dean as an indication of support for the additional resource requirements that may be necessary. The Statement of Interest is then submitted to the Quality Assurance Office. Statements will not be considered unless each section is complete and has the signatures of both the Associate Dean and Dean.

Once a Statement of Interest is received, the Quality Assurance Office will consult with the AVPA or AVPGSPA and the related academic support units. The Quality Assurance Office will then respond to the program proponent with feedback and provide directions regarding the Proposal Brief (Volume I).

2.3.3 Procedures for the Program Proposal Brief

In Phase Two, the Proposal Brief is drafted by the program proponent. A Program Proposal Brief (Volumes I, II, III) is completed in consultation with faculty, staff and students and alumni of similar programs. The Proposal Brief must follow the template provided, and address the criteria outlined in the QAF Evaluation Criteria ([QAF 2.1.2.1](#)).

This Proposal *must* include learning outcomes mapped to the Undergraduate Degree Level Expectations (UDLEs) or Graduate Degree Level Expectations (GDLEs). The Centre for Teaching Excellence (CTE) has a number of resources, including templates and examples available on their website. Programs should contact [the Educational Developer, Curriculum & Quality Enhancement](#) in CTE for further information and support.

All programs require a library report written by the Subject Librarian. In addition, if the new program includes co-op or work integrated learning, a Feasibility Study, prepared by a Faculty Relations Manager from Co-operative and Experiential Education is required.

Once the Proposal Brief (Volume I) has been drafted and approved by the Department/School, the program proponent shares it with the Faculty Undergraduate or Graduate Committee, and with the Dean for feedback. The program proponent then submits the proposal to the Quality Assurance Office. The Quality Assurance Office distributes the brief to the appropriate academic support units and gathers feedback. The program proponent should be prepared to answer questions and incorporate requested clarifications and changes into the Proposal Brief, as needed.

The Dean (along with the Faculty Financial Officer or Executive Officer, as necessary) works with the Budget and Resource Planning Team in Institutional Analysis & Planning (IAP) to complete a Financial Viability Analysis (FVA) for the new program. The Dean with assistance from IAP, present the FVA and draft of the Proposal Brief (Volume I) to the Provost for decision. Upon approval from the Provost, the new program process can move forward.

The final version of the Proposal Brief (Volume I) is completed by incorporating any requested changes or revisions from the academic support units or Provost. If changes are substantial, the proposal may be required to go back to the Department/School and Provost for approval.

Following the completion of Phases One and Two, the final version of Volume I (the Proposal Brief), Volume II (Faculty CVs), and Volume III (Proposed Reviewers), as well as the academic calendar descriptions, are submitted to the Quality Assurance Office.

The New Program Proposal (Volume I, II, III) cannot proceed for Faculty-level approval, until approved by the academic support units, the Quality Assurance Office, the AVPA or AVPGSPA, and the Provost.

2.3.4 Procedures for the External Evaluation

In Phase Three, the New Program Proposal (Volume I, II, III) must be approved at the appropriate Department/School and Faculty Council Committees (including the relevant Undergraduate or Graduate Committee, and Faculty Council) *before* a site visit is scheduled.

Co-ordination of a two-day site visit will be arranged by the Quality Assurance Office. The review team will consist of two external reviewers and one internal support person of the University.

Commented [AC1]: Required:
Library - Library representative
CTE - Veronica Stephenson, David Theissen, Educational Developer, Curriculum & Quality Enhancement
Centre for Career Action - if there's a co-op component - sent to relevant Faculty Relations Manager

The external reviewers are selected from those suggested by the program in Volume III (see [criteria for choosing arm's length reviewers](#)). The external reviewers and internal support person are selected by the AVPA or AVPGSPA or designate. Descriptions of the role of the external reviewer and internal support person and how they are selected are detailed in [section 5.3.2](#).

The site visit itinerary is identical to that of a cyclical program review site visit ([see section 5.3.2](#)). During the site visit, the external Review Team (otherwise known as the Site Visit Team) will evaluate the proposed program against set criteria outlined in the External Reviewers' Report template. Within two weeks of the site visit, the external review team will submit this report to the Quality Assurance Office.

After the External Reviewers' Report is received, the Quality Assurance Office and AVPA or AVPGSPA or designate will review it and seek clarification from the reviewers, if needed. The final report will be shared with the Provost, Dean, Associate Dean Undergraduate or Graduate, and with the program proponent.

2.3.5 Procedures for the Program Response and Dean's Response

The program proponent for the new program will prepare a response to the reviewers' recommendations and revise the Proposal Brief (Volume I), as needed. Depending on the number and significance of the revisions, a revised financial viability analysis may be needed, in addition the brief may need to be re-approved by the Provost, Faculty Council and the Quality Assurance Office *before* the proposal goes to Senate Undergraduate Council (SUC) or Senate Graduate and Research Council (SGRC), and Senate for approval.

2.3.6 Procedures for Institutional Approval

The Quality Assurance Office sends a submission package (which includes Volumes I, II, the External Reviewers' Report, Program Response, and Dean's Response) to the Secretary of the appropriate governance committee (i.e., undergraduate or graduate) in the University's Secretariat. New undergraduate offerings are evaluated and approved by the Senate Undergraduate Council (SUC); whereas new graduate offerings are evaluated and approved by Senate Graduate and Research Council (SGRC).

Once approved, the Secretary of the governance committee will submit the new program to Senate for approval.

2.3.7 Procedures for Approval by Quality Council

Once approved by SUC or SGRC and Senate, the submission package (which includes Volumes I, II, the External Reviewers' Report, Program Response, and Dean's Response) are sent electronically to the Quality Council by the Quality Assurance Office. [Appendix A](#).

After the New Program Proposal has been submitted to the Quality Council, Quality Assurance Office will notify the Department/School that they may begin to advertise the new program. However, any announcements or ads must contain the following statement:

"Prospective students are advised that offers of admission to a new program may be made only after the university's own quality assurance processes have been completed and the Ontario Universities Council on Quality Assurance has approved the program."

In addition, the following text *must* be including when referring to applications for the new program:

Disclaimer Statement:

The University of Waterloo is now accepting applications for the proposed (ENTER PROGRAM NAME HERE) degree program. Processing of these applications and admission of students will not occur until the program is approved by the Ontario Universities Council on Quality Assurance. The University will acknowledge and store applications but will be unable to evaluate or act on them in any way until the program has been formally approved by the Quality Council. In the unlikely case that the program is not approved, the application fee will be refunded*.

Please contact (ENTER CONTACT HERE) for more information.

**Refunds are provided by the Department/School.*

In Phase Four, the Quality Assurance Office will notify the program proponent of the Quality Council's official decision. Institutional Analysis and Planning (IAP), will notify the program proponent about approval for tuition rate and grant funding from the Ministry of Colleges and Universities. Once approval is granted, the program may launch with its first student intake. This program must launch and admit its first intake of students within the 36 months. All [approved new programs](#) are listed on the Academic Program Review website.

The new program will then enter into the [cyclical academic program review](#) cycle, with the first review taking place seven years following implementation of the program.

2.3.8 Procedures for Approval by the Ministry

After the proposal has been submitted to the Quality Council, IAP will submit the program proposal electronically to the Ministry of Colleges and Universities (MCU) for approval. MCU approval typically takes 4-6 months or longer. MCU approves two key aspects of new programs: the proposed tuition rate and approval that domestic enrolment in the program

will be eligible for operating grant (students are only eligible for OSAP if their program is MCU-approved).

2.3.9 Procedures for the Two-Year Progress Report for New Programs

Commented [AC2]: This section will be updated in the coming months.

Two years following the new program's first intake, a progress report must be submitted to the Quality Assurance Office. The purpose of the Two-Year Progress Report is to provide initial data on student progress and implementation of the program, and to respond to any issues raised by the reviewers.

Two years following the first student intake, the Chair/Director of the program is expected to complete a Two-Year Progress Report for new programs, using the provided [template](#), and submit it to the Quality Assurance Office.

The Quality Assurance Office notifies the program Chair/Director approximately six months in advance of the due date for this report. The template includes the list of recommendations and the Implementation Table. Programs are asked to provide a status update on each recommendation and provide an explanation for any changes to the Implementation Table.

Once the Two-Year Progress Report has been reviewed and signed by the Associate Dean, AFIW Administrative Dean/Head (*for AFIW programs only*), Dean and AVPA or AVPGSPA, the Quality Assurance Office sends the document to the Secretary of the appropriate governance committee (i.e., undergraduate or graduate) in the University's Secretariat. Undergraduate Two-Year Progress Reports for new programs are evaluated and approved by the Senate Undergraduate Council (SUC); whereas graduate Two-Year Progress Reports are evaluated and approved by Senate Graduate and Research Council (SGRC).

Two-Year Progress Reports are read and evaluated by all SUC or SGRC members. This review process is coordinated by the Quality Assurance Office.

SUC and SGRC members will consider a series of guiding questions (see below) in arriving at their recommendation for revision or approval to SUC or SGRC.

Does the Two-Year New Program Progress Report:

- 1) Clearly describe progress achieved on the various action items in the implementation plan?
- 2) Explain convincingly any circumstances that would have altered the original implementation plan?
- 3) For items that are behind schedule, propose an amended implementation schedule that is reasonable and credible?
- 4) Address significant developments or initiatives that have arisen since the program review process, or that were not contemplated by the program review process?

Before reporting to SUC or SGRC, members will ask questions and share their observations, as well as any concerns they have identified with the report, to the Quality Assurance Office, who will then connect with the Chair or Director of the program. The Quality Assurance Office will ensure that any revisions to the reports are completed by the Chair or Director of the program, prior to the Quality Assurance Office submitting the report for approval at a SUC or SGRC.

The program Chair or Director (or their chosen delegate) will attend the SUC or SGRC meeting to address any questions or concerns that might arise during SUC or SGRC.

Should the discussion at SUC or SGRC reveal issues of concern that require revision, the Quality Assurance Office will work with the program Chair or Director to address the concern(s). If minor revisions are needed, the report will be edited and then it will proceed to Senate for information without re-approval from SUC or SGRC; however, any major revisions will require SUC/SGRC review and approval.

Subsequently, the Secretary of the governance committee will submit each approved Two-Year Progress Report for the new program to Senate for information. [Appendix A](#).

Following submission at Senate, all [Two-Year Progress Reports](#) are posted publicly on the Academic Program Reviews website by the Quality Assurance Office.

3. Procedures for Expedited Approvals of New Programs

Proposals for new for-credit graduate diplomas follow an expedited approval process ([QAF 3](#)). These proposals have the same required steps as a [New Program Proposal](#), *with the exception of the external evaluation* ([QAF 2.2.6 to 2.2.8](#)). New graduate diplomas must submit a Proposal Brief that addresses the relevant [QAF Evaluation Criteria](#) ([QAF 3.1](#)). Templates are available for expedited programs.

Following the preparation and approval of the Proposal Brief by the AVPA or AVPGSPA, Dean and Provost, expedited programs move directly to evaluation and approval by SGRC. They are not required to have an external site visit.

The Quality Council's Appraisal Committee conducts an appraisal and approval process, and communicates their decision to the Quality Assurance Office, which then notifies the program proponent of the Quality Council's official decision ([QAF 3.2](#)).

The expedited approval process may also be used if the institution requests Quality Council endorsement of a graduate field, or if the institution requests an expedited approval for a major modification to an existing program; however, this process is seldom used at Waterloo. [Appendix A](#).

New Program Approval & Expedited Approvals Checklist*

- Prepare a Statement of Interest (template)
- Acquire Associate Dean and Dean's approval and submit to Quality Assurance Office
- Statement of Interest is reviewed by QA, IAP, AVPA or AVPGSPA, and other support units
- Department/School approval
- Faculty Undergraduate and/or Graduate Council review
- Proponents prepare draft Volume I (template) and submit to Quality Assurance Office
- QA, IAP, AVPA or AVPGSPA, and other support units review draft of Volume I
- IAP prepares financial viability analysis (FVA) with Deans' Office
- Final versions of Volumes I, II, III (templates) submitted to Quality Assurance Office
- Dean and IAP meet with the Provost to seek approval for the new program
- Faculty Undergraduate and/or Graduate Council approval
- Faculty Council approval
- Reviewers selected (AVPA, AVPGSPA or designate approved)^a
- Site visit booked^a
- External Reviewer's Report submitted (template)^a
- Reviewer's report sent to Provost, Dean, Associate Deans, Chair/Director of the program^a
- Program Response submitted (template)^a
- Dean's Response submitted (template)^a
- QA Office submits new program proposal to SUC or SGRC for approval
- Secretariat sends proposal to Senate for approval
- QA Office submits the new program proposal to the Quality Council for approval
- Program may advertise new offering using the required disclaimer
- IAP submits the new program proposal to the Ministry of Colleges and Universities^b for tuition/grant approval
- QA Office notified of decision from the Quality Council (QC)
- IAP notified of decision from the Ministry of Colleges and Universities^b
- Approved new programs are listed on the Academic Program Reviews website
- Programs may make offers of admission once the QC and the University have posted the approval of the new program on their websites
- First intake of students must occur within 36 months of Quality Council approval
- Two-Year Report for New Programs (due two years from the first intake of students)
- Program enters cyclical review cycle (due seven-years from first student intake)

*Note dates maybe subject to change

^aNot applicable to expedited approvals

^bApplicable to expedited approvals for Type 3 Graduate Diplomas

4.0 Major Modifications

Major modifications are approved initially at the Department/School level and Faculty level (which includes the relevant Faculty Undergraduate or Graduate Committee and Faculty Council).

Subsequently, the major modification is submitted to Senate Undergraduate Council or Senate Graduate and Research Council for approval and then sent for information to Senate. Graduate major modifications must be submitted using the required forms from Graduate Studies and Postdoctoral Affairs. For assistance with the submission of a graduate major modification contact [Graduate Studies and Postdoctoral Affairs](#). For assistance with the submission of an undergraduate major modification contact the [Quality Assurance Office](#).

If there is uncertainty as to whether a change is major or minor, the program should contact the Quality Assurance Office. The AVPA or AVPGSPA will be the final arbiter for decisions with regards to major modifications for undergraduate and graduate programs.

Major modifications are not subject to Quality Council approval; however, all major modifications are submitted annually and subject to review by the Quality Council. [Appendix A](#).

Major Modifications Checklist

- Contact Institutional Analysis and Planning (IAP) to review the impact of the changes (e.g., enrolment, tuition, grant)
- Contact Cooperative and Experiential Education to conduct a Feasibility Study, if you are considering adding co-op or a work-integrated-learning experience
- Consult current students and recent graduates of the program
- Assess the impact the proposed modification will have on the program's students
- Ensure the proposed modification is in alignment with the relevant program-level learning outcomes
- Provide a written rationale for the change that includes feedback from current students and recent graduates and addresses the impact on the program's students
- Submit the rationale to Department/School for approval
- Submit the rationale to Faculty Undergraduate and/or graduate Council for approval
- Submit the rationale to Faculty Council for approval
- Submit the rationale to SUC or SGRC for approval
- Secretariat submits the rationale to Senate for information

4.1 Minor Modifications

Modifications that do not meet the threshold of a major modification are considered to be minor.

These would minimally include: changes to an existing Emphasis, Option, or Minor Program; the creation of a new micro-credential(s); undergraduate certificate(s); and laddering, stacking or similar options or comparable elements. While these modifications do not need Quality Council appraisal and approval, the QC requires that the University of Waterloo detail how the changes will be made and how the quality of such changes will be assured.

Minor modifications for-credit are approved at the Department/School level, Faculty level (including relevant Faculty Undergraduate or Graduate Committee and Faculty Council), and then subsequently approved at Senate Undergraduate Council or Senate Graduate and Research Council. Undergraduate Council or Senate Graduate and Research Council are empowered to approve minor changes on behalf of Senate, as per [Senate Bylaw 2](#). Minor modifications are not subject to Quality Council review or reporting. [Appendix A](#).

Minor modifications for non-credit or alternative credentials offerings such as micro-credential(s); and laddering, stacking or similar options or comparable elements are approved by an [Alternative Credentials Approval Committee](#) which is chaired by the AVPA. New offerings are submitted to this Committee for review and approval using a standardized template. The template requires that the offerings detail how they will solicit feedback from participants and provide a timeframe for ongoing evaluation. The Committee will review the report to assess indicators of the quality of the offering and will recommend steps taken to address any problems that are identified.

Minor Modifications Checklist

For-credit minor modifications require:

- Contact Institutional Analysis and Planning (IAP) to review the impact of the changes
- Department/School approval
- Faculty Undergraduate and/or graduate Council approval
- Faculty Council approval
- Sent to SUC or SGRC for approval

Non-credit or alternative credentials require:

- Contact Institutional Analysis and Planning (IAP) to review the impact of the changes
- Non-credit or alternative credentials, such as micro-credentials, are reviewed and approved by the [Alternative Credentials Approval Committee](#)

5. Cyclical Program Reviews

5.3.1 Procedures for Completing the self-study

The cyclical program review involves the preparation of a self-study.

The self-study has three volumes (Volume I: self-study, Volume II: Faculty CVs, Volume III: External Reviewers). There are [templates](#) for each volume. The self-study covers the seven previous fiscal years, with emphasis on the most recent years. When multiple programs are reviewed together, the self-study should provide sufficient differentiation and granularity for each of the programs.

A good self-study has the following attributes:

- Presents a 'snapshot' of the program during the review period;
- Celebrates successes but recognizes areas for improvement throughout;
- Is reflective and self-critical;
- Consults a broad spectrum of stakeholders (i.e., faculty, staff, students, alumni, employers, etc.);
- Provides evidence to support claims, where applicable; and
- Incorporates hyperlinks to additional information through web sources, wherever possible.

Volume I: Self-study ([template](#))

The Quality Assurance (QA) Office provides the program with a customized template for Volume I, which is pre-populated with data from Institutional Analysis and Planning (IAP) for the program(s) under review. Programs are also asked to collate some data internal to the program (see notations in the self-study template). The narrative in the self-study is prepared by faculty and staff with input from faculty, students, staff and alumni of the program. Professional programs must also seek feedback from employers and professional associations.

The self-study must include learning outcomes mapped to the Undergraduate Degree Level Expectations ([UDLEs](#)) and/or Graduate Degree Level Expectations ([GDLEs](#)). The Centre for Teaching Excellence (CTE) has a number of resources, including [templates and examples](#) available on their website. It is best to start reviewing program curriculum and mapping the UDLES/GDLES early in the preparation of the self-study as this process can take some time to complete. Programs should contact [the Educational Developer, Curriculum & Quality Enhancement](#) in CTE for further information and support.

The self-study also includes reports from the Library, and Cooperative and Experiential Education (if the review includes a co-op program). These units are informed of which programs are under review and will begin preparing reports on the program's behalf. Programs are encouraged to

reach out to their [Liaison Librarian](#) and [Cooperative and Experiential Education Faculty Liaison](#), should there be any questions about these reports.

Volume II: Faculty CVs ([template](#))

Volume II includes hyperlinks to the current Curricula Vitae for all faculty who are key contributors to the delivery of the program and were actively involved in the program during the review period (i.e., over the last seven years).

Volume III: Proposed External Reviewers ([template](#))

Volume III includes two sections:

- 1) Five recommended reviewers from within Canada, and
- 2) Five recommended reviewers in Ontario.

Reviews of undergraduate minors, options or diplomas differ slightly and should include only a ranking of 5 internal reviewers who are arm's length from the program under review but have some knowledge of the field of study.

Programs must rank their recommended reviewers, provide a brief rationale for each and confirm that the reviewer has not had a professional or personal connection to the program, or anyone related to the program, in the last seven years (see [criteria for choosing arm's length reviewers](#)). The QA Office and AVPA, AVPGSPA or designate will select the internal support person.

Submission of the Self-study

A draft of the self-study (Volume I) is submitted electronically (as a Word document) to the Quality Assurance Office by **April 1st**. The self-study should be as complete as possible, with the exception of adding any outstanding reports from support units or student and alumni survey information. Data from IAP for the most recent academic year is not available until June, following convocation, and such the draft will be based on the data provided to date. The Quality Assurance Office will read the report and respond to the program with comments and revisions.

Before the final version deadline, the Quality Assurance Office will liaise with IAP to add the most recent year of data to the tables and provide the updated template to the program.

Final versions of the self-study (Volume I), Faculty CVs (Volume II) and Proposed External Reviewers (Volume III) (see [templates](#)) are submitted electronically (as Word documents) to the Quality Assurance Office by **July 1st**. The final versions of Volumes I, II and III will be reviewed by the Quality Assurance Office and read and approved by the AVPA, AVPGSPA or designate. Note: further revisions may be required before the self-study is deemed complete.

5.3.2 Procedures for the External Evaluation

The Quality Assurance Office oversees the co-ordination of the external evaluation. The process differs depending on the type of program being reviewed. Undergraduate and graduate degrees and graduate diploma programs involve a two-day site visit by two external reviewers and an internal participant (i.e., support person). However, minors and options are reviewed by two internal reviewers over the period of one day. Reviewers are selected by the AVPA, AVPGSPA or designate from those suggested by the program in Volume III.

External Reviewers

Reviewers are ranked by the AVPA, AVPGSPA or designate based on the following factors:

- Administrative experience (i.e., prefer minimum of Chair/Director level experience)
- Scholarly activities (i.e., publications, research grants, teaching and supervisory activities)
- Disciplinary expertise (i.e., depth of knowledge in the field of study)
- Arm's length from the program under review

External reviewers for professional programs will be selected based on length and quality of expertise in industry or profession as well as current level of activity in the field.

The role of the external reviewer is to:

- Thoroughly read Volume I: self-study, and examine Volume II (CV's) as needed;
- Objectively evaluate the academic program(s) and the resources related to offering the program (i.e., human resources, space and facilities, library support etc.);
- Attend all scheduled meetings;
- Actively listen and ask probing questions, where needed;
- Work collegially with the other external reviewer and internal support person; and
- Complete the External Reviewers' Report template within the requested timeframe.

In advance of their site visit, the Quality Assurance Office emails the external reviewers the following information:

- Itinerary (i.e., meeting schedule with who/where/when, as well as travel details)
- Volume I: Self-study and Volume II: CV's
- External Reviewers' Report template
- Details on how they will be reimbursed for travel and accommodation expenses
- Details on how they will receive their honorarium (i.e., remuneration) for their service

The external reviewers will read the self-study in depth in their preparation for their visit. These documents are confidential and reviewers should securely destroy/delete them following the completion of the external reviewers' duties.

External reviewers are remunerated for completing the External Reviewers' Report following the site visit. The external reviewers are encouraged to reach out to the [Quality Assurance Office](#) or the AVPA or AVPGSPA should they have any questions or concerns about the cyclical review site visit.

Internal Participation

An internal support person accompanies external reviewers during their site visit and plays the role of an ambassador; whereas, internal reviewers assess minors or options, and prepare an evaluative report.

A list of internal support people and internal reviewers is generated by nominations from the Chair/Director of an individual's department/school. A call for nominations will go out to Chairs/Directors at least once per academic year. Chairs/Directors will put forward names of faculty members that have an appropriate depth of administrative experience and have demonstrated a strong level of scholarly activity. Nominees who have agreed to serve will remain on the list until they are selected or they are no longer available to serve in this capacity (e.g., retirement or have left the University). Nominees should not serve as an internal support person or internal reviewer more than once every five years - the aim is to engage a breadth of faculty in the IQAP process.

People who have served in these roles report a very positive experience, that they learned a great deal about different parts of the University and have a better appreciation for cyclical program reviews.

Internal Support Person

The external reviewers are accompanied by an internal support person, who is considered part of the Review Team (or Site Visit Team). The internal member plays a critical role in the program review process. The internal support person does not have to be a specialist in the field of the program being reviewed and must be at arm's length and come from outside the Faculty of the program under review. The faculty member serving as an internal support person should have sufficient understanding of Waterloo administrative and academic practices to ensure that their contributions to the external reviewers' site visit are meaningful. In addition to assisting the external reviewers to find their way around campus, the internal support person also acts as a resource for the Review Team on Waterloo's organization and culture, as aspects of Waterloo's operations may differ from the norms at other universities such as the prominent place of co-operative education, and any other aspect of the University that could be useful in contextualizing what the external reviewers read or hear, especially during the site visit. The internal support person joins the external members for all aspects of the site visit while they are on campus, including the orientation meeting at the start of the site visit on day one (which is typically a kickoff meeting with the AVPA or AVPGSPA, Chair/Director of the program, and Dean or designate) and the Director of Quality Assurance (Academic Programs), and the debrief

meeting at the end of the site visit on day two, with the AVPA or AVPGSPA and the Director of Quality Assurance (Academic Programs).

The role of the internal support person is to:

- Be an ambassador for the University of Waterloo to external reviewers
- Maintain objectivity in the cyclical review process
- Work collegially with the external reviewers
- Attend all scheduled meetings
- Answer any University-specific questions the external reviewers might have

The internal support person's required activities end when the site visit is complete. The internal member is not responsible nor expected to participate in writing the External Reviewers' Report, although they may offer to be available by email or phone should questions arise during the writing of the report. Faculty that serve as internal support people state that their participation in the process was rewarding and they gained a broader and meaningful perspective of the various offerings and activities on campus as well as cyclical program reviews. In gratitude of the time commitment demanded and to recognize the service contribution, a letter from the AVPA or AVPGSPA is provided to each internal support person. This letter is also shared with the Dean of their Faculty.

Internal support people are encouraged to reach out to the [Quality Assurance Office](#) or the AVPA or AVPGSPA should they have any questions or concerns about the cyclical review site visit.

Internal reviewers

Waterloo goes beyond the QAF requirements and reviews its undergraduate minors and options. These programs are appraised by two internal reviewers who are faculty members at the University of Waterloo. The AVPA or designate selects one member from a list of suggested reviewers provided by the program who are familiar with the offering, but are not directly involved in it, and a second faculty member from a different Faculty who has no association to the offering under review. Reviewers nominated by the program should have some knowledge of the field of study while the second internal reviewer is arm's length from the program and selected from the list of internal nominees (as described above).

Internal reviewers are chosen by the AVPA or AVPGSPA or designate based on the following factors:

- Administrative experience (i.e., associate or full professors)
- Scholarly activities (i.e., publications, research grants, teaching and supervisory activities)
- Disciplinary expertise (i.e., depth of knowledge in the field of study)

- Arm's length from the program under review

The internal reviewers essentially serve the same purpose as the external appraisers, although they are not external to the University. Reviewers engage in a day-long itinerary that involves meeting with faculty, students, administrators and staff, and tour spaces associated with the offering. The day often starts with a kickoff meeting with the AVPA, Chair/Director of the program, and Dean (or designate) and the Director of Quality Assurance (Academic Programs) and ends with a debrief meeting with the AVPA and Director of Quality Assurance (Academic Programs).

Reviewers are asked to appraise the academic program and prepare a reviewers' report, using the same report template used by external reviewers who evaluate undergraduate degree programs and/or graduate degrees or diplomas. The report is due two weeks following the one-day visit.

The role of the internal reviewer is to:

- Thoroughly read Volume I: self-study, and examine Volume II (CV's), as needed;
- Objectively evaluate the academic program(s) and the resources related to offering the program (i.e., human resources, space and facilities, library support etc.);
- Attend all scheduled meetings;
- Actively listen and ask probing questions, where needed;
- Work collegially with the other internal reviewer; and
- Complete the Reviewers' Report template within the requested timeframe.

An honorarium is paid to the internal reviewers in recognition of the time commitment involved in the preparation of the reviewers' report. Previous reviewers report that their participation in the process was rewarding and that they gained a broader and meaningful perspective of the various offerings and activities on campus as well as cyclical program reviews. Internal reviewers are encouraged to reach out to the [Quality Assurance Office](#) or the AVPA or AVPGSPA should they have any questions or concerns about the cyclical review site visit.

Site Visit

The site visit will begin with an introductory meeting for the Review Team (Site Visit Team) with the Associate Vice-President, Academic (AVPA), or Associate Vice-President, Graduate Studies and Postdoctoral Affairs (AVPGSPA), as well as the Faculty Dean (or designate) or equivalent, and Department Chair/School Director who has oversight of the program under review and the Director of Quality Assurance (Academic Programs). The purpose of the meeting is to provide a high-level overview of the site visit process, discuss what is expected of the external reviewers

and internal support person, and answer any questions that the Review Team may have before beginning the visit.

A detailed itinerary is prepared by the program under review in coordination with the Quality Assurance Office. All parties receive this itinerary by email in advance of their visit. The Review Team will independently engage in meetings scheduled in the itinerary with the program faculty, staff and associated units (they will not be accompanied by staff from the Quality Assurance or the AVPA or AVPGSA Offices).

The Review Team will meet with the following people:

- AVPA and/or AVPGSPA;
- Provost (only applicable to graduate programs);
- Dean of the Faculty or designate and/or Associate Deans;
- Principal, President or designate (only applicable for an AFIW program);
- Academic Dean or designate (only applicable for an AFIW program);
- Chair/Director of the home unit and Program Director (if applicable);
- current faculty and instructors;
- staff;
- students;
- Librarians;
- Employers or professional association representatives (only applicable to professional programs);
- Cooperative and Experiential Education (CEE) staff (co-op programs only);
- Director, Quality Assurance (Academic Programs).

They also have opportunity to tour program-related facilities. Where possible, time is built into the site visit itinerary for the reviewers to discuss their observations and to begin completing the External Reviewers' Report.

The site visit wraps up with an exit meeting with the Review Team and the AVPA or AVPGSPA and the Director, Quality Assurance (Academic Programs). The AVPA or AVPGSPA lead the closing meeting and seek to understand the impressions of the external reviewers, allow them to address any confidential concerns they might have (i.e., issues that may have been identified that do not specifically belong in the External Reviewers' Report, but need to be addressed), and provide answers to any outstanding questions from the reviewers.

External Reviewers' Report

Following the site visit, the external reviewers complete one joint External Reviewers' Report (see templates), which addresses criteria set by the Quality Council, and is submitted to the Quality Assurance Office two weeks after the site visit.

The Quality Assurance Office reviews the report and shares it with the AVPA or AVPGSPA. The report is reviewed for completion, accuracy, and to identify any areas of concern (i.e., any inclusions that do not belong in the report or glaring inaccuracies). External reviewers may be contacted in order to clarify, correct or rephrase portions of the report, as needed. Any changes or notations to the original report are kept on record by the Quality Assurance Office.

A summary of the findings and the External Reviewers' Report is sent to the Provost, AVPA or AVPGSPA, Dean, Associate Dean (undergraduate and/or graduate) and the Chair/Director of the Department/School. The Chair/Director has four weeks to respond to the Quality Assurance Office with any factual corrections. If no comments are received within that time period, it will be concluded that the report requires no corrections.

5.3.3 Procedures for Completing the Program Response, Implementation Plan and Dean's Response

Program Response

The Quality Assurance Office prepares a Program Response template, based on the recommendations listed in the External Reviewers' Report. This template accompanies the summary of the findings and the External Reviewers' Report that is sent to the Chair/Director of the program. The Chair/Director has ten weeks to prepare and sign off on the Program Response and return it to the Quality Assurance Office.

Within the Program Response the Chair/Director:

- Responds to each of the recommendations in the report;
- Describes any changes in organization, policy or governance that would be necessary to meet the recommendations;
- Assesses the resources, financial and otherwise, required to support the implementation of selected recommendations and identifies who is responsible for providing these resources;
- Prioritizes and clearly outlines proposed timelines for the implementation of recommendations to be achieved in the next 2 years vs. those that will take longer;
- Clearly identifies who is responsible for acting on each of the selected recommendations.

Upon receipt, the Quality Assurance Office reviews the Program Response for completion and will follow-up with the program Chair/Director, should further information be needed.

Dean's Response

Once the Program Response has been reviewed by the Quality Assurance Office and its completion confirmed, the Quality Assurance Office prepares the Dean's Response template. This

template is an extension of the Program Response template and allows the Dean to add general commentary as well as specific responses to the plans that the program has laid out in response to each of the reviewers' recommendations. The Dean also provides a signature on this document signifying their endorsement of the plans. After the template has been completed and signed off by the Dean, it is returned to the Quality Assurance Office.

5.3.4 Procedures for Completing the Final Assessment Report (FAR)

The Final Assessment Report (FAR) is prepared by the Quality Assurance Office. The FAR is a synopsis of the self-study, external reviewer's recommendations, and the Program and Dean's Response, and the implementation table. The FAR identifies strengths of the program, opportunities for program enhancement, and sets out an implementation plan for all of the external reviewer's recommendations (except, where an approved rationale is provided for not including a specific recommendation(s)). Furthermore, any additional recommendations that the program/unit, the Dean(s) and/or the University may have identified as requiring action as a result of the program's review may be included in the FAR.

The FAR is initially reviewed by the AVPA or AVPGSPA or designate, and then shared with the program for their review for factual correctness. The FAR is read and endorsed with a signature by the Chair/Director, AFIW Administrative Dean/Head (*For AFIW programs only*), Faculty Dean, and AVPA or AVPGSPA.

5.3.5 Procedures for Approval and Reporting

Once the Final Assessment Report (FAR) has been reviewed and signed by the aforementioned parties, the Quality Assurance Office sends the document to the Secretary of the appropriate governance committee (i.e., undergraduate or graduate) in the University's Secretariat. Undergraduate FARs are evaluated and approved by the Senate Undergraduate Council (SUC); whereas, graduate FARs are evaluated and approved by Senate Graduate and Research Council (SGRC). Augmented FARs are sent to either of these councils, based on current workload of the council.

Final Assessment Reports (FARs), are reviewed by all SUC or SGRC members. This review process is coordinated by the Quality Assurance Office. To promote transparency and foster integrity in the review process, reviewers should not be members of the Faculty or Affiliated and Federated Institutions of Waterloo (AFIW) from which the report originates.

Reviewers will consider a series of guiding questions (see below) in arriving at their recommendation for revision or approval to SUC or SGRC.

Does the Final Assessment Report:

- 1) Include a credible implementation plan that not only addresses the substantive issues identified from the program review process but also identifies clearly:
 - What actions will follow from specific recommendations?
 - Who will be responsible for acting on those recommendations?
 - Who will be responsible for providing resources?
 - Priorities for implementation and realistic timelines for initiating and monitoring actions?

- 2) Provide a rationale as to why a recommendation(s) will not be pursued?

Before the report comes to SUC or SGRC, members will ask questions and share their observations, as well as any concerns they have identified with the report, to the Quality Assurance Office, who will then connect with the Chair or Director of the program. The Quality Assurance Office will ensure that any revisions to the reports are completed by the Chair or Director of the program, prior to the Quality Assurance Office submitting the report for approval at a SUC or SGRC.

SUC's and SGRC's responsibility will be to focus on the overall credibility and feasibility of the report and the proposed plan of action – seeking to uncover, for example, unexplained disjunctions between the reviewers' recommendations and the program's response – as opposed to the minutiae of course content and curriculum structure. The program Chair or Director (or their chosen delegate) will attend the SUC or SGRC meeting to address any questions or concerns that might arise during SUC or SGRC.

Should the discussion at SUC or SGRC reveal issues of concern that require revision, the Quality Assurance Office will work with the program Chair or Director to address the concern(s). If minor revisions are needed, the report will be edited and then it will proceed to Senate for information without re-approval from SUC or SGRC; however, any major revisions will require SUC or SGRC review and approval.

Following SUC or SGRC approval, the Secretary of the governance committee will submit each approved FAR to Senate for information. [Appendix A.](#)

Once through Senate, the FAR is sent to the Program Chair or Director by the Quality Assurance Office, and is posted publicly on the [Academic Program Reviews](#) website and the website of any affiliated institution. Programs are also encouraged to post the FAR on their own websites. FARs are reported annually to the Quality Council by the Quality Assurance Office.

5.3.6 Procedures for Completing the Two-Year Progress Report

Two years following the site visit, the Chair/Director of the program is expected to complete a Two-Year Progress Report, using a provided template, and submit it to the Quality Assurance Office. The Quality Assurance Office notifies the program Chair/Director approximately six

months in advance of the due date for this report. The template mirrors portions of the program's Final Assessment Report (FAR) and includes the list of recommendations and the implementation table. Programs are asked to provide a status update on each recommendation and provide an explanation for any changes to the implementation table.

The Two-Year Progress Report will:

- Clearly describe progress achieved on the various action items in the original implementation plan, and discernible impacts, if any.
- Propose an amended implementation schedule for items that are behind schedule. There should be a clear indication of when specific actions will occur, who will be responsible for oversight or implementation, and, if there are resource implications, where those resources will come from.
- Explain any circumstances that have altered the original implementation plan.
- If certain recommendations or planned actions are no longer considered appropriate, indicate why.
- Address any significant developments or initiatives that have arisen since the program review process, or that were not contemplated during the program review process.
- Report on anything else appropriate to bring to Senate concerning this program.

The Two-Year Progress Report is read and endorsed with a signature by the Chair/Director, AFIW Administrative Dean/Head (*For AFIW programs only*), Faculty Dean, and AVPA or AVPGSPA. Once reviewed and signed, the Quality Assurance Office sends the document to the Secretary of the appropriate governance committee (i.e., undergraduate or graduate) in the University's Secretariat. Undergraduate Two-Year Progress Reports are evaluated and approved by the Senate Undergraduate Council (SUC); whereas graduate Two-Year Progress Reports are evaluated and approved by Senate Graduate and Research Council (SGRC). Augmented Two-Year Progress Reports are sent to either of these councils, based on current workload of the Council.

Two-Year Progress Reports are reviewed all members of SUC or SGRC. This review process is coordinated by the Quality Assurance (QA) Office.

SUC and SGRC members will consider a series of guiding questions (see below) in arriving at their recommendation for revision or approval to SUC or SGRC.

Does the Two-Year Progress Report:

- 1) Clearly describe progress achieved on the various action items in the implementation plan?
- 2) Explain convincingly any circumstances that would have altered the original implementation plan?
- 3) For items that are behind schedule, propose an amended implementation schedule that is reasonable and credible?

4) Address significant developments or initiatives that have arisen since the program review process, or that were not contemplated by the program review process?

Before the report goes to SUC or SGRC, members will ask questions and share their observations, as well as any concerns they have identified with the report, to the Quality Assurance Office, who will then connect with the Chair or Director of the program. The Quality Assurance Office will ensure that any revisions to the reports are completed by the Chair or Director of the program, prior to the Quality Assurance Office submitting the report for approval at a SUC or SGRC.

The program Chair or Director (or their chosen delegate) will attend the SUC or SGRC meeting to address any questions or concerns that might arise during SUC or SGRC.

Should the discussion at SUC or SGRC reveal issues of concern that require revision, the Quality Assurance Office will work with the program Chair or Director to address the concern(s). If minor revisions are needed, the report will be edited and then it will proceed to Senate for information without re-approval from SUC or SGRC; however, any major revisions will require SUC or SGRC review and approval.

Following SUC or SGRC approval, the Secretary of the governance committee will submit each approved Two-Year Progress Report to Senate for information. [Appendix A.](#)

Following submission at Senate, all [Two-Year Progress Reports](#) are posted publicly on the Academic Program Reviews website by the Quality Assurance Office.

5.3.7 Procedures for Completing the Five-Year Progress Report

Five years following the site visit, the Chair/Director of the program is expected to complete a Five-Year Progress Report, using a provided template, and submit it to the Quality Assurance Office. The Quality Assurance Office notifies the program Chair/Director approximately six months in advance of the due date for this report. The intention of the Five-Year Progress Report is to prepare the program for their next review in a seven-year cycle.

The Five-Year Progress Report is reviewed and signed by the AVPA or AVPGSPA or designate. This report is not submitted to governance committees as it is for internal planning purposes and is not publicly available on the Quality Assurance website. [Appendix A.](#)

5.5 Procedures for Joint Cyclical Reviews of Programs with other Universities

The following principles shall apply to reviews of joint programs:

- There will be a single self-study, which will clearly explain how input was received from faculty, staff and students at each partner institution.
- The selection of arm's length external reviewers will involve participation by each partner institution, including the appointment of an internal support person from each partner.
- The external review will involve all partner institutions and preferably all sites, if the review is held in person. Reviewers will consult faculty, staff, and students at each partner institution.
- Feedback on the reviewers' report will be solicited from participating units at each partner institution, including the deans.
- One Final Assessment Report, with input and agreement from each partner, will be written and submitted through the appropriate governance processes at each institution. The Final Assessment Report will be submitted to the Quality Council by all partners and will be posted on the university website of each partner.
- Partner institutions will agree on an appropriate monitoring process for the Implementation Plan, and all monitoring reports will be posted on each partner institution's website.

In the case of joint programs with other postsecondary institutions in Ontario, the participating institutions will agree on a common review schedule. Cyclical reviews will be conducted according to the IQAP of the institution administering the review (usually the institution at which the current director holds appointment) and under the leadership of that institution's program director. For purposes of consistency, the institution that holds directorship of the joint program at the beginning of the cyclical review will be responsible for leading the process through to the completion of it.

For programs joint with universities outside Ontario, the quality of the program is subject to quality assurance processes in the respective jurisdictions; therefore, the review process must adhere to the procedures outlined in the QAF. It is the responsibility of the Quality Council to determine whether the out-of-province partner is subject to an appropriate quality review process in its own jurisdiction suitably comparable to the Quality Council's assurance processes. Waterloo includes information in the self-study relevant to the out-of-province offering. The review may not necessarily require a site visit to the other institution; however, the program includes information that would normally be gained during a site visit about the components of the program completed outside Ontario (e.g., video, photos, floor plans, etc.).

Cyclical Program Review Checklist*

- Cyclical Program Review Orientation and workshops (May-July)
- Program Information Sheet provided and returned to Quality Assurance Office
- Self-study template (with data) sent to program under review (Oct)
- IAP, QA data meeting with program (Nov-Jan)
- Draft self-study Volume I submitted to Quality Assurance Office (**April 1 deadline**)
- Draft self-study reviewed by Quality Assurance Office and returned to program
- Final year of data provided by IAP (late June)
- Final versions of self-study Volumes I, II, III (**July 1 deadline**)
- Reviewers selected (AVPA, AVPGSPA or designate approved)
- Site visit scheduled
- Meet with Quality Assurance Office to plan site visit
- Site Visit occurs
- External Reviewers' Report submitted to Quality Assurance Office and reviewed by AVPA or AVPGSPA
- Reviewers report sent to Provost, Dean, Associate Deans, Chair/Director of the program
- Factual corrections received from program (4 weeks after report received)
- Program Response submitted to Quality Assurance Office (10 weeks after report received)
- Dean's Response submitted to Quality Assurance Office
- FAR drafted (AVPA or AVPGSPA approve and sign)
- FAR reviewed & signed by all stakeholders (i.e., Chair/Director, Faculty or AFIW Dean)
- FAR sent to SUC or SGRC for evaluation and approval
- FAR sent to Senate for information
- Following Senate the FAR is sent to the Program Chair/Director
- FAR is posted on Academic Program Reviews website and affiliate websites
- Two-Year Progress Report completed and submitted to Quality Assurance Office (due two years from site visit date)
- Two-Year Progress Report (AVPA or AVPGSPA approve and sign)
- Two-Year Progress Report reviewed & signed by all stakeholders (i.e., Chair/Director, Faculty or AFIW Dean)
- Two-Year Progress Report sent to SUC or SGRC for evaluation and approval
- Two-Year Progress Report sent to Senate for information
- Following Senate, Two-Year Progress Report is posted on Academic Program Reviews website
- Five-Year Progress Report completed (due five years from the site visit date)
- Five-Year Progress Report reviewed and signed and kept on record by QA Office

*Note dates may be subject to change

Appendix A: Levels of Approval and Reporting

IQAP Item	Faculty-Level	Externally Reviewed	SUC*/SGRC* /ACAC*	Senate	Quality Council	Ministry
Cyclical Program Reviews						
Final Assessment Report (FAR)	Dean's Signature	Yes	Approval	Information	Information	N/A
Two-Year Progress Report	Dean's Signature	No	Approval	Information	No	N/A
Five-Year Progress Report	Dean's Signature	No	No	No	No	N/A
New Program Proposals						
Undergraduate Major	Approval	Yes, if 'brand-new'	Approval	Approval	Yes, if 'brand-new'	Yes, in non-core areas ¹
Undergraduate Degree	Approval	Yes	Approval	Approval	Approval	Yes, in non-core areas ¹
Graduate Diploma	Approval	No	Approval	Approval	Approval	Yes, if Type 3 GDip
Graduate Degree	Approval	Yes	Approval	Approval	Approval	Yes
Two-Year Progress Report for new programs	Dean's Signature	No	Approval	Information	Yes, if 'approved to commence, with report'	No
Major Modifications						
Major Modification to Existing Program	Approval	No	Approval	Approval	Information	Information
Minor Modification to Existing Program	Approval	No	Approval	No	No	No
New minor modification, non-credit (e.g., micro-credentials, badges etc.)	No	No	ACAC Approval	No	No	Yes- if OSAP eligible
New Undergraduate Diploma, Minor, Option, or Certificate	Approval	No	Approval	Approval	Information	Information, except UG Diplomas in non-core areas ¹
Graduate Field	Approval	No	Approval	Approval	Information	No
Graduate Specialization	Approval	No	Approval	Approval	Information	No
Graduate Collaborative Program	Approval	No	Approval	Approval	Information	Yes – if tuition or grant funding is impacted

*As delegated by Senate

¹ Consult Institutional Analysis and Planning (IAP) for Ministry core/non-core areas.

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Office of the Vice-President, Academic and Provost**For Information****Open Session****To: Senate****Sponsor:** James Rush
Vice-President Academic and Provost
provost@uwaterloo.ca**Presenters:** Catherine Newell Kelly University Registrar
cnkelly@uwaterloo.caJeff Casello
Associate Vice-President, Graduate Studies and Postdoctoral Affairs
jcasello@uwaterloo.ca**Date of Meeting: January 29, 2024****Agenda Item Identification: 13b. Undergraduate and Graduate Admissions Update****Summary:**

This brief provides undergraduate and graduate admissions data and supporting context and aims to support Senate's awareness of the admissions funnel. The undergraduate data includes the 2019-2023 admissions funnel; the graduate data includes graduate student application and enrolment data for Fall 2023. A separate and early look at 2024 undergraduate applications is also provided.

This update is intended to provide Senate with an understanding of the trends in our applications, offers of admissions, and new admits—differentiated by undergraduate and graduate applicants, domestic and international applicants. There are some interpretations of the data included with the submitted briefing notes.

Members are encouraged to review the two related briefing notes (included as Appendices A and B). At the meeting of Senate, opportunity will be given to ask any additional questions.

Jurisdictional Information:

This report is submitted in support of Senate's empowerments under section 22 of the *University of Waterloo Act, 1972*:

(d) to determine standards of admission of students to the University;

(j) to undertake, consider and co-ordinate long-range academic planning;

Senate**1**

Governance Path:

Senate – 29 January 2024 (for information)

Board of Governors – 6 February 2024 (for information)

Documentation Provided:

Appendix A – Undergraduate Admissions 2019-2023

Appendix B – Graduate Application & Enrolment Data for Fall 2023

APPENDIX A: Undergraduate Admissions 2019-2023
Brief prepared for Senate 29 Jan 2024

This Brief provides an overview of Fall 2023 undergraduate admissions, along with comparative data from 2019-2022 and an early look at Fall 2024 application numbers. The recruitment and admissions funnel includes the number of applications, number of offers, number of acceptances (matriculations), and count date registrations (Nov 1 enrolment, first year new admits) for each of the most recent five years. Data are divided into domestic and international numbers, as each cohort represents different targets and is assessed different levels of tuition.

OBSERVATIONS

Domestic

Domestic applications and enrolment remained strong overall with confirmations exceeding expectations. The range of admissions averages and criteria varied broadly between competitive entry programs or those with capacity limitations, and those programs accepting minimum entry averages and making offers to all eligible applicants. Many of our programs applied minimum admissions criteria to meet target. We also made alternate offers to programs with not enough qualified applicants.

Domestic applications, offers, matriculations, registrations 2019-2023

Domestic	2019	2020	2021	2022	2023
Applications ¹	36,694	37,086	42,300	50,086	49,933
Offers ¹	22,665	27,261	26,186	26,812	28,338
Matriculations ²	5,918	6,761	6,447	6,432	6,376
Nov 1 Registered ³	5,652	6,333	6,123	6,058	6,087
Targets ⁴	5,553	5,558	5,532	5,594	5,617
% of Target	102%	114%	111%	108%	108%

Source: University of Waterloo Institutional Analysis & Planning (IAP)

International

The numbers below demonstrate declining international applicant interest in Waterloo. In Fall 2023, Waterloo had the 3rd largest volume of applications in the province (behind Toronto and Ottawa), and the 4th largest volume of confirmed students to full-time first-year studies (behind Ottawa, Toronto, and York, in that order). Note: international students in this report are defined as international fee-paying students.

-
1. Applications and Offers data sourced from Registrar Resources Admissions Reports in Power BI [Admissions reports | Registrar Resources \(uwaterloo.ca\)](#).
 2. Matriculation is the process of adding students as active in a program in Quest. For the purposes of this analysis, matriculation denotes the number of full-time Year One students who are eligible to enrol at the end of July, as defined in IAP's Year One Monitoring reports.
 3. November 1 Registered data source from IAP's Year One Monitoring reports (Quest extracts).
 4. Targets established by Provost and Faculty Deans.

International applications, offers, matriculations, registrations 2019-2023

International	2019	2020	2021	2022	2023
Applications ¹	20,153	18,604	19,189	17,692	16,642
Offers ¹	6,609	8,839	7,500	8,361	8,280
Matriculations ²	1,513	2,227	1,425	1,465	1,245
Nov 1 Registered ³	1,084	1,468	965	937	812
Targets ⁴	1,260	1,271	1,223	1,187	1,156
% of Target	86%	115%	79%	79%	70%

Source: University of Waterloo Institutional Analysis & Planning (IAP)

The significant drops between application to registrations are due to a variety of internal and external factors.

- For most programs, we extended offers to all qualified international applicants using our minimum admission criteria. By contrast, our most competitive areas for admission had deep applicant pools and extremely high admission average cut-offs (most Faculty of Math programs and several programs in the Faculty of Engineering).
- Waterloo has lost market share across the U15 universities, declining from 7% to 4.6% of student visas issued among the U15.
- Since 2022, more than 50% of student visas issued are for Ontario institutions (source: [ApplyBoard](#)). Waterloo has a very good visa approval rate of 86.5% - second only to Toronto in the province (source: [Toronto Star](#)).
- Canada continues to attract more foreign workers along with their dependents. As a result, we are seeing significant growth in the number of dependent students applying as international applicants and subsequently registering as domestic students. This contributes to international summer attrition rates.
- International melt (attrition) rates among Waterloo new students are largely for financial reasons, particularly among those students who had indicated Waterloo was a *top* choice on their application (Source: Fall 2023 International Student Melt Survey). External research also indicates that international students across the sector are increasingly prioritizing employment and finances ([ApplyBoard](#)).

Summary Undergraduate international summer attrition rate, 2019-2023

All Faculties	2019	2020	2021	2022	2023
Matriculation ²	1,513	2,227	1,425	1,465	1,245
Nov 1 Registered ³	1,084	1,468	965	937	812
Summer attrition ⁵	28.4%	34.1%	32.3%	36.0%	34.8%

We continue to see a nearly half of our international fee-paying student population coming from high schools within Canada.

⁵ Summer attrition or “melt” is the percentage of students who accept their offer of admission and are counted as part of the Matriculation numbers but do not attend and are not part of the institution by the November 1 Registered date.

International registered students who had attended high school in Canada vs. outside Canada, Fall 2023

Source: Registrar's Office, Admissions



International registered students, by country of last school attended, and country of citizenship, Fall 2023

source: Registrar's Office, Admissions

Last school attended (by country)	Registered	%
Canada	352	43%
India	127	16%
China	117	14%
United Arab Emirates	42	5%
United States	14	2%
Bangladesh	13	2%
Kenya	11	1%
<i>Rest of world</i>	<i>136</i>	<i>17%</i>
Total	812	100%

Citizenship	Registered	%
China	370	46%
India	196	24%
Korea	47	6%
Viet Nam	19	2%
Pakistan	17	2%
Hong Kong	17	2%
Nigeria	15	2%
<i>Rest of world</i>	<i>131</i>	<i>16%</i>
Total	812	100%

EARLY LOOK: FALL 2024 UNDERGRADUATE APPLICATIONS AND OFFERS

Applications	2020	2021	2022	2023	2024 (as of Jan 4)
Domestic	37,086	42,300	50,086	49,933	42,973
International	18,604	19,189	17,692	16,642	11,499

Note that Fall 2020-2023 numbers are final, from end of cycle; the Fall 2024 numbers are as of Jan 4 and will grow somewhat. Most applications close on Feb 1 though there will continue to be small additions through the spring and summer.

Domestic – comparing our numbers Jan 4, 2024 with the same date last year

- We have a modest 4% increase in Domestic applications to first-year compared with the same time last year, while there is an increase of 7% across Ontario. The majority of our increase is comprised of applicants who ranked Waterloo as their 3rd choice or greater.
- We are 5th in total domestic applications to first-year behind Toronto, McMaster, Western, and Queen’s.
- Our collective work to recruit, admit, and better support self-identified Indigenous students in recent years is showing positive results. The number of offers of admission we were able to make in 2023 was more than double the number made in 2018.

International – comparing our numbers Jan 4, 2024 with the same date last year

- International applications to first-year are down approximately 7% across Ontario and down approximately 11% for Waterloo when compared with numbers at this same time last year.
- We have a considerable decrease in 1st choice applications of approximately 22%, compared with a decrease of approximately 8% across Ontario, again compared with numbers from the same time last year.
- We are second to Toronto in total international applications to first-year. McMaster and Ottawa are close behind.
- International applications from students studying in Ontario Secondary Schools are up, while the applications from international students studying outside of Ontario are down. Externally, geo-political and financial factors are key influencers. Canadian universities are experiencing a significant decrease in applications from the two largest source countries for qualified students – China and India. With the exception of a small increase in Fall 2021, Waterloo has been experiencing a decline in international applications since 2018.
- In India, there is an emerging negative perception of Canada as a high-quality destination for post-secondary education. Canada’s eroding value proposition appears to be hitting institutions across the sector, with a [40% decline in applications from India for study permits to Canada in the second half of 2023](#). Waterloo has seen a ~35% decrease in applications from India year-over-year for the Fall 2024 incoming class (source: Quest). Geo-political tensions have led to a media narrative that positions Canada as having insufficient housing / food / jobs, being dangerous for Indian nationals, and selling a false promise of the realities of living successfully in Canada. A campaign is in progress to address the negative perception of Canada and emphasize Waterloo’s key differentiators via paid, owned, and earned media.
- To support our international recruitment efforts, travel increased with the addition of two Admissions Officers taking on a recruitment portfolio; executive leaders supported international visits and events; digital engagement was enhanced through paid and organic digital advertising, search engine optimization, social media, and earned media;

- and comprehensive market reports were developed for key markets.
- In Admissions, we are continually striving to improve our knowledge and efficiency to allow for assessments to be made quickly and accurately. We will continue to assess international applications and make offers as quickly as we have the information required to do so.

Offers

- We have made 20% more offers of admission to domestic students and 46% more offers of admission to international students than at this time last year.

APPENDIX B: Graduate Student Application & Enrollment Data for Fall 2023
Brief prepared for Senate 29 Jan 2024

The following report summarizes the University's graduate student admissions data for fall 2023. For background, this report presents the data in a format that reflects the graduate student "admissions funnel". This is structured as follows. We report:

1. Total applications to the University.
2. The number of applicants who receive offers from the University.
3. The number of offers that are accepted by the applicants.
4. The number of students who accepted the offers that ultimately matriculated and were counted at Government count date.

The data are presented for the University as a whole, then disaggregated as follows:

1. By international and domestic applicants.
2. By those applying to course-based master's programs, research master's programs, and PhD programs.

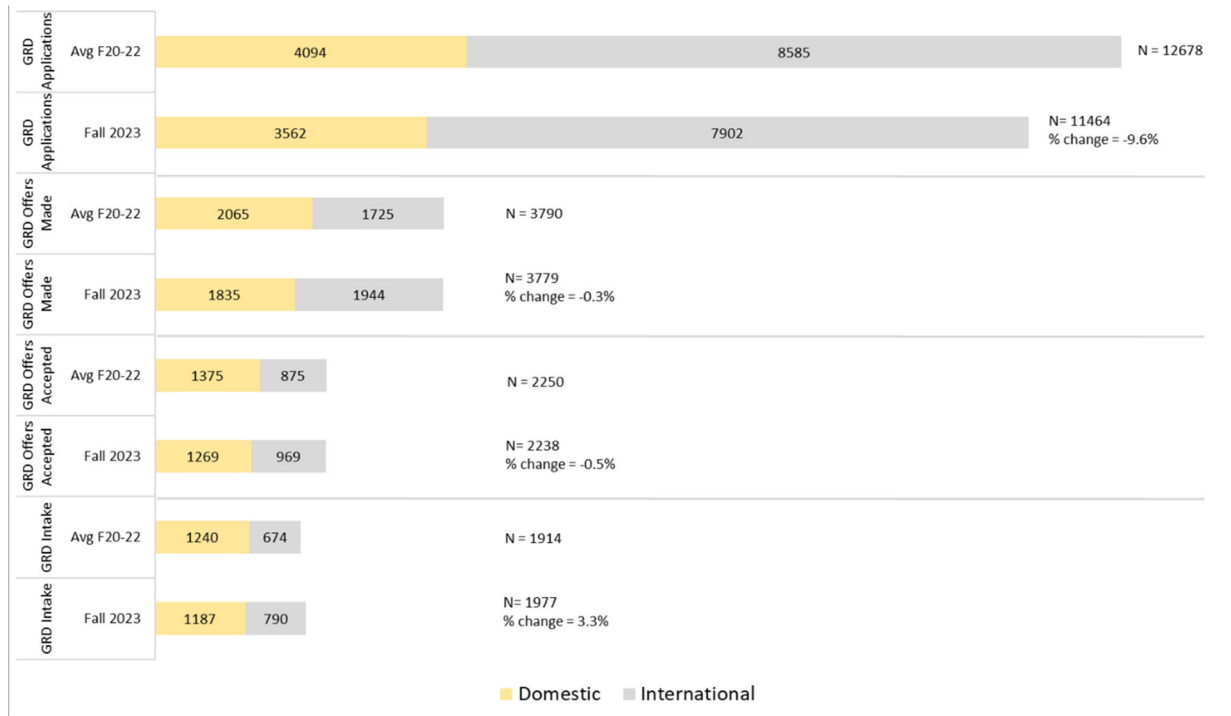
For comparative purposes, the fall 2023 data are presented with the average of the previous three years – fall 2020, 2021, and 2022. This comparison is motivated by the variance that is typical in graduate applications which makes year-over-year comparisons less valuable.

Note also that many graduate programs allow admissions in each of the three terms. So, the Fall data are a subset of total applications / admissions – about 75%.

The summary is that the University saw general weakness in its applicant pools to all of its program types, with substantive weaknesses in its international applicant pools for course-based programs. Despite the smaller applicant pool, the number of offers made remained relatively constant, with greater emphasis on offers to international students.

In total, the intake for fall 2023 was roughly equivalent to the previous three years, with modest growth in master's programs offsetting declines in PhD enrollments.

Aggregate fall 2023 graduate applications

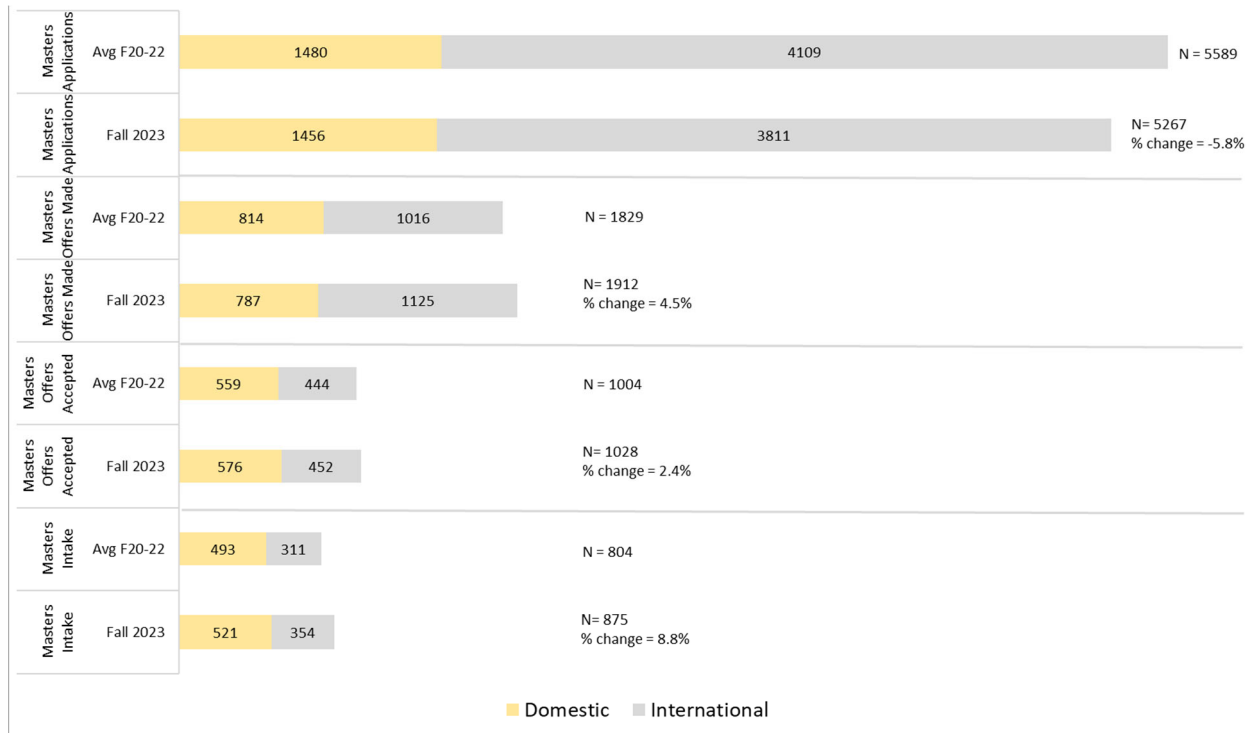


The graph shows the aggregate data for all graduate applications to the University in Fall 2023. In aggregate, the University saw declines in total applications, with similar reductions in domestic and international applications. In sum, there were about 10% fewer applications to graduate programs in fall 2023 compared to the previous three years.

Despite the reduced number of applications, the university made nearly the same number of offers to students in 2023 as the average over the previous three years. There was a greater emphasis on international offers in fall 2023 than in previous years.

There were no substantive changes in the proportions of offers accepted or in the matriculations. In fall 2023, Waterloo welcomed 1,977 new students with approximately 40% being international.

Fall 2023 applications to course-based Master’s programs

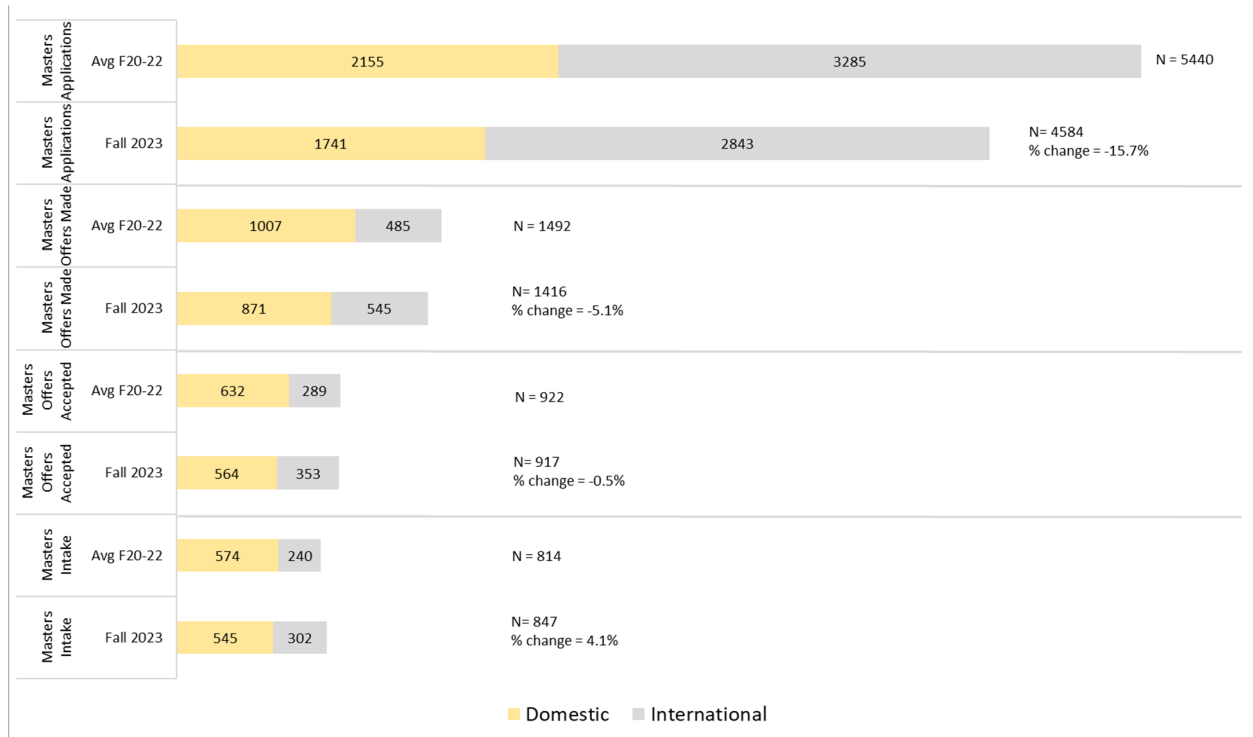


Fall 2023 generated about 5% fewer applications, with a decline predominantly in international applications (about 300 fewer). The University made a larger number of offers, about 80 more (or ~4.5%), with a greater proportion of offers made to international applicants.

Of the offers made, 40% of international applicants accepted offers, whereas more than 73% of domestic applicants accepted offers. This difference in acceptance rates is consistent with previous years and is likely a result of the tuition differential for these two student cohorts.

The University’s intake of new course-based master’s students was 875, about 9% higher than the previous three years. Attrition rates (measured as the proportion of accepted offers who do not matriculate) was 9.5% for domestic students and 22% for international students.

Fall 2023 applications to research Master's programs

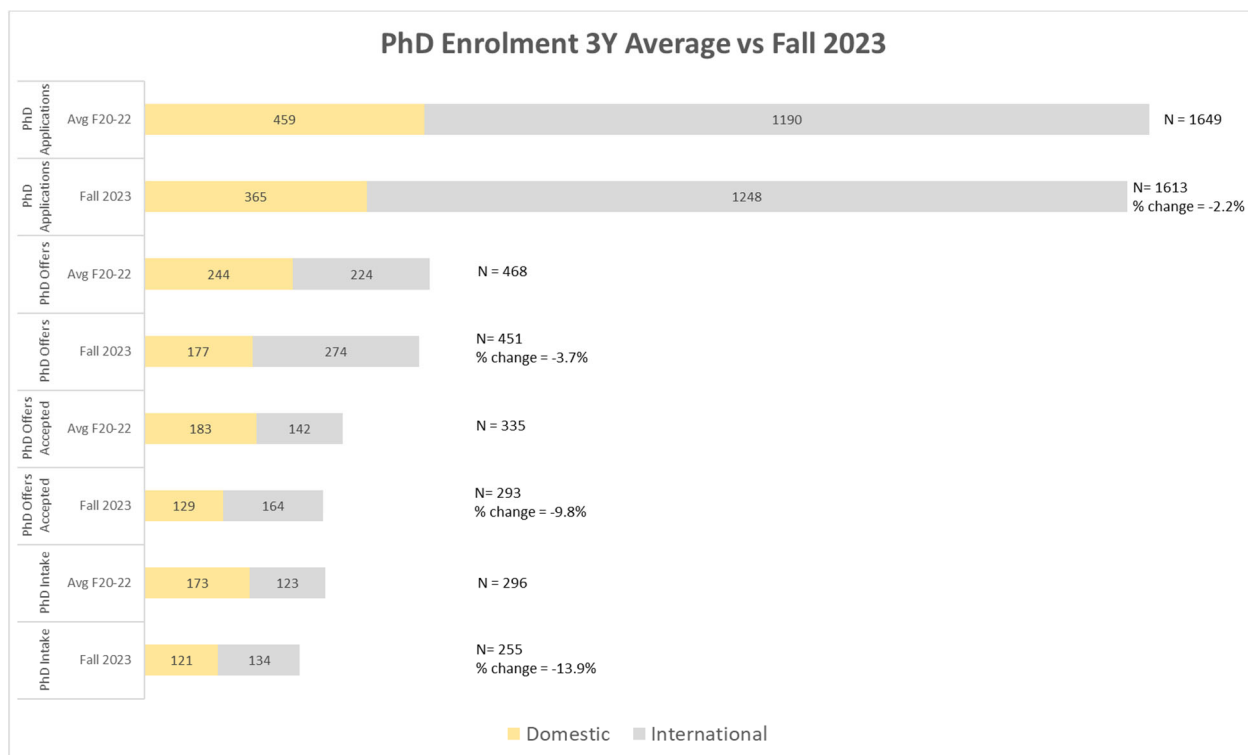


The University saw a large decline in applications for our research master's programs. In total, applications decreased by about 16%, with decreases in both domestic and international applications (19 and 13% respectively).

Supervisors made significantly fewer offers (136 or ~14%) to domestic applicants in fall 2023 compared to previous years. For international applicants, supervisors made a larger total number of offers, 545 compared to 485 (+70), from a smaller applicant pool (3285 versus 2843, or 442), reflecting a much higher offer rate (19.2% versus 14.7%) than the previous three years.

Offers were accepted and attrition rates were roughly comparable to previous three years.

Fall 2023 PhD applications



The University continues to rely heavily on PhD applications. For fall 2023, the ratio of international applicants to domestic applicants was 3.4:1, substantively higher than the average of the previous years (2.6:1). Attracting strong domestic applicants to Waterloo’s graduate (PhD) programs remains a challenge.

Supervisors made offers to 451 applicants in F2023, roughly equivalent to the three year average. The offers made in F2023 were more heavily skewed to international students than in previous years; offers to international students represent ~61% compared to the historic value of ~48%.

The number of PhD offers accepted was down by ~10% in Fall 2023, resulting in a very low intake (matriculated) student count of 255.

For Discussion**Open Session**

To:	Senate
Sponsor:	James W. E. Rush Vice-President, Academic and Provost
Presenter:	David DeVidi Associate Vice-President, Academic
Contact Information:	david.devidi@uwaterloo.ca
Date of Meeting:	January 29, 2024
Agenda Item Identification:	13c. Report – University Committee on Student Appeals Annual Report (Policy 72)

Summary:

This report provides information required to be reported annually to Senate for the period 1 September 2022 to 31 August 2023, as well as the information previously provided to Senate for the three years prior.

The numbers reported in the attached chart include findings of guilt for graduate and undergraduate students at the University and faculty levels Associate Deans disciplinary decisions, and Faculty Committee on Student Appeals (FCSA) and University Committee on Student Appeals (UCSA) decisions. The level of measurement is *cases*, not individual students, and some cases involve multiple students.

End users in each Faculty enter data into the Campus Incident System (CIS). The numbers in this report are extracted from the CIS by the Secretariat. It has been known for some time that there are inconsistencies in the way particular sorts of action are entered into the various academic offence categories by different Faculties, which obviously affects the accuracy of the data and reduces its value. The UCSA Chairs and Associate Deans who handle academic discipline therefore initiated a working group, led by the Director of the Office of Academic Integrity, which consulted with IST, the Secretariat, and end users to identify ways to improve the accuracy and consistency of academic reporting in the CIS. Recommendations were made and are being implemented, data entry documentation has been updated, and end user training will happen soon. This is an interim solution as the CIS home-grown system is at the end of its lifecycle. The process to find a replacement has begun.

Academic offence numbers increased substantially during the pandemic and were particularly high in the wake of the switch to emergency remote learning in 2020. Most categories of academic offences have been declining in frequency since 2020-21. Unauthorized co-operation or collaboration (2769) is the most frequent offence and occurs more than twice the amount of the second most reported offence – plagiarism (1226); it is noteworthy that the boundary between these two categories is not precise.

Recognizing the difficulties that the inconsistencies described above create for attempts to interpret the data, Associate Deans, Undergraduate (ADUs) who are largely responsible for handling student discipline within Faculties, were consulted for their insights on trends and patterns. Their impression is that the decline in academic discipline cases since 2020-21 is largely driven by the return to a greater percentage of courses being offered in person. An area of interest in 2023 was the impact of ChatGPT and other generative AI software. The ADUs reported that ChatGPT and similar tools were not involved in many discipline cases. While this might be regarded as surprising given the general level of concern about GenAI and academic integrity in the public sphere, the ADUs reported that they, and many instructors, often took potential cases of academic misconduct involving these tools as an opportunity for formative conversations with students rather than matters that required discipline (e.g., to provide guidance on proper and improper use of these tools in an academic setting).

To preserve confidentiality, cases are not reported by faculty, unit or program. Annual summaries (with identifying student and faculty names removed) of discipline cases, grievances and appeals are posted to the Secretariat's website: <https://uwaterloo.ca/secretariat/discipline-grievances-and-appeals/university-committee-student-appeals/university-committee-student-appeals-summary-discipline>.

Jurisdictional Information:

In accordance with Policy 72 – Student Appeals, section 5, the UCSA shall report annually to Senate on the number of cases heard at the University and faculty levels, their nature and such recommendations as it sees fit to make with respect to matters under its jurisdiction.

Governance Path:

Senate Executive Committee: 15/01/24

Documentation Provided:

Appendix A: UCSA Annual Report – 2022-2023 Table

Appendix A: UCSA Annual Report - 2022-2023 Table

DISCIPLINE OFFENCE	2019-2020	2020-2021	2021-2022	2022-2023
ACADEMIC				
Academic or admission fraud	0	0	9	16
Altering or falsifying a relevant document	0	4	5	16
Cheating	1340	2394	869	285
Contravention of statute	0	0	0	0
Impersonation	57	14	0	8
Misrepresentation	25	226	74	27
Obtaining confidential academic materials	4	16	4	0
Plagiarism	1922	2198	1710	1226
Theft of intellectual property	98	405	67	55
Unauthorized aids or assistance	604	1482	409	237
Unauthorized co-operation or collaboration	1366	3647	2858	2769
Unauthorized resubmission of work	12	19	22	8
Violation of examination regulations	159	153	65	1
Violation of instructor copyright	0	450	186	12
Other	1	83	6	10
NON-ACADEMIC				
Contravention of a statute	0	0	0	0
Disruptive, dangerous, aggressive or threatening behaviour	14	7	9	12
Infringing unreasonably on the work of others	1	0	0	0
Mischief	0	0	30	4
Misuse of University resources	2	0	2	2
Theft	0	0	0	8
Unauthorized use of equipment	0	0	0	0
Unethical behaviour	0	14	2	9
Vandalism	0	0	0	4
Violation of safety regulations	4	401	5	9
Other	10	83	31	4

*The numbers in this table represent cases and not individual students.

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For Approval

Open Session

To: Senate

From: James W.E. Rush, Vice-President, Academic and Provost

Contact Information: provost@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **14a. Revisions to Policy 76 – Faculty Appointments and to Policy 77 – Tenure and Promotion of Faculty Members**

Recommendation/Motion:

To approve the proposed revised Policy 76 – Faculty Appointments and the proposed revised Policy 77 – Tenure and Promotion of Faculty Members effective 1 September 2024, in accordance with the agreed terms between the Faculty Association of the University of Waterloo (“FAUW”) and the University of Waterloo, and as described in this report;

And to recommend that the Board of Governors give final approval to the same proposed revisions with the same effective date.

Summary:

The proposed policy amendments (detailed in Schedules A and B of Attachment #2 to this report,) would establish three new teaching stream faculty ranks: Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; and Professor, Teaching Stream. Related to the establishment of those faculty ranks, there will be clear policy regarding (i) processes for hiring into either definite-term or probationary positions in those ranks; (ii) achieving permanence in said ranks, which is a status with the same protections of academic freedom and job security as tenure for tenure-stream faculty; and (iii) processes for promotion to higher ranks.

The changes are intended to reflect and recognize the value of a permanent teaching stream at Waterloo and aim to facilitate rewarding and stable careers for those members of faculty who enter that stream. With these amendments, faculty in the teaching stream will have maximum course assignment loads of 12 (0.5 unit) courses per two-year period, which matches the lowest such loads at Waterloo’s comparator institutions. Those faculty will be entitled to have at least one term in six without courses assigned and will also have access to a system where they may earn course assignment reductions to allow pursuit of educational leadership activities. Further details are included in the attached joint memo from the president of FAUW and the Vice-President, Academic and Provost.

Separate from the proposed policy revisions and as part of the terms of revisions between FAUW and the University, the parties enunciated (i) an addendum to the University’s Teaching Effectiveness Framework, (ii) specific points for inclusion in the public messaging about the mediated agreement, and (iii) a memorandum of understanding regarding course assignment maximums and the transition to teaching stream. These documents do not require approval by Senate, however, they are included in the attachments to this report for information and to provide context for Senators (see Schedules C, D and F of Attachment #2 to this report).

Jurisdictional Information:

In October 2022 Senate approved a multi-step process for development and approval of these specific policies. The process was based on the approval requirements for Class F policies as described in Policy 1:

4. Jurisdiction, Initiation and Development

...

Class F

...

Approvals

The approval process is a collegial one in which the approval by each of the Senate, the Administration, the Faculty Association and the Board of Governors, is required. The approval route is from the FRC to the President, then to Senate, and finally to the Board of Governors. Upon receipt of the new or amended policy from the FRC, the President will approve it and recommend it to Senate, or return it to the FRC with accompanying reasons for its return.

Upon receipt of the new or amended policy from the President, Senate will approve it and recommend it to the Board of Governors, or return it to the FRC with accompanying reasons for its return.

Upon receipt of the new or amended policy from Senate, the Board of Governors will approve it and the policy will be in force, or return it to the FRC with accompanying reasons for its return.

If the policy is returned at any stage, the FRC will review the reasons given for its return, make any revisions that it deems necessary, and return the (amended) policy for approval so long as it continues to have majority support from members appointed by each of the Administration and Faculty Association. If that support is lost, the draft policy will be shelved and Senate so informed.

Governance Path:

The recommended amendments are brought forward by the President to Senate in accordance with the multi-step plan which included provisions for proceeding to mediation and arbitration on the matter, if necessary. Further, amendments to the Memorandum of Agreement (MOA) between the University and Faculty Association will be required in order to implement the proposed policy changes; this is reflected in the governance path. While there have been numerous iterations of this specific policy development between the parties over several years, the dates noted below reflect only the current process as it relates to the enclosed resulting documents.

Faculty Relations Committee approval date (mm/dd/yy): 09/22/22 [approval of multi-step plan]

Senate approval date (mm/dd/yy): 10/17/22 [approval of multi-step plan]

President approval date (mm/dd/yy): 10/17/22 [concomitant with approval of multi-step plan]

Agreement of University and Faculty Association on terms of revisions (mm/dd/yy): 12/01/23 [Schedules A, B, C, D, F]

Joint recommendation to President (mm/dd/yy): 12/14/23 [based on prior approval under multi-step plan]

Senate approval date (mm/dd/yy): 01/29/24 [prospective]

Approval of amendments to FAUW/UW Memorandum of Agreement: February 2024 [prospective]

Board of Governors approval date (mm/dd/yy): 04/16/24 [prospective – Schedules A, B, C, D, F and FAUW/UW Memorandum of Agreement]

Documentation Provided:

- Attachment #1 – Joint statement on Policy 76/77 agreement and next steps from FAUW President and Vice-President, Academic and Provost, 6 December 2023

- Attachment #2 – Accompanying Schedules to FAUW/University Agreement on terms of revisions to Policy 76 and 77
 - o Schedule A – proposed revised Policy 76, Faculty Appointments
 - o Schedule B – proposed revised Policy 77, Tenure, Permanence, and Promotion of Faculty Members
 - o Schedule C – addendum to University’s Teaching Effectiveness Framework
 - o Schedule D – public messaging regarding mediated agreement
 - o Schedule F – memorandum of understanding regarding course assignment maximums and transition to teaching stream
- Attachment #3 – Memo to Senate from Faculty Relations Committee, 17 October 2022

[Attachment #1 - Joint statement on Policy 76/77 agreement and next steps](#)

Wednesday, December 6, 2023

A message from James W.E. Rush, Vice-President, Academic and Provost and David Porreca, President, Faculty Association of the University of Waterloo.

The University of Waterloo and the Faculty Association are pleased to share that they have agreed on the terms of revisions to Policy 76 – Faculty Appointments and Policy 77 – Tenure and Promotion of Faculty Members, and related agreements concerning the establishment of a well-defined teaching stream at Waterloo.

The goal to formalize a teaching stream at Waterloo is longstanding and has been the focus of previous policy development committees and extended discussion at the Faculty Relations Committee. This new agreement followed the work of the current Policy Development Committee and included a period of mediation.

On Wednesday, December 6, the University and FAUW presented approved terms to the mediator, Michelle Flaherty. The agreement will now proceed through approval and governance processes according to the process jointly established by the University and FAUW at Faculty Relations Committee, and approved by Senate, when the current Policy Development Committee was established in Fall 2022.

The University and FAUW hope to be able to implement these changes from September 1, 2024, subject to governance approvals.

[The agreement establishes three new faculty ranks](#)

Key to the agreement is the establishment of three new teaching stream faculty ranks:

- Assistant Professor, Teaching Stream;
- Associate Professor, Teaching Stream; and
- Professor, Teaching Stream.

In addition, there will now be clear policy about processes for hiring into either definite-term or probationary positions in these ranks; for achieving permanence, a status with the same protections of academic freedom and job security as tenure for tenure stream faculty; and for promotion to higher ranks.

Criteria for promotion to Professor, Teaching Stream will include achievement in ‘educational leadership’, which refers to contributions to teaching that have an impact beyond a faculty member’s own students or the program in which they teach. This is intended as a rough analogue of the national and international research profile expected for promotion to Professor in the tenure stream.

These changes mean that the rank of Lecturer will disappear over time. As of the implementation date, no further appointments will be made at this rank. All Definite Term Lecturers will transition to the rank of Assistant Professor, Teaching Stream (definite-term or probationary). Continuing Lecturers will have the option to become Associate Professors, Teaching Stream with permanence or will remain as Continuing Lecturers.

Clarifying terms for course assignments

For the first time, there will be maximum course assignment loads for teaching stream faculty. The course assignment loads will be a maximum of 12 (0.5 unit) courses per two-year period. This ensures that more than 30 per cent of teaching stream faculty will see (or have seen) a reduction in their course load based on actual numbers of courses taught as of February 2022.

This maximum course assignment load will be the same for permanent and definite-term teaching stream faculty. While the maximum course load is the same for definite-term, probationary and permanent teaching stream faculty, the agreement establishes a system of credits that allows permanent teaching stream faculty to earn course assignment reductions so that they can pursue educational leadership activities and so progress towards promotion to Professor, Teaching Stream.

The maximum course loads for teaching stream faculty match the lowest such loads at comparable Canadian universities and are lower than at many comparators; the maximum course loads for definite-term teaching stream faculty are lower than those at any comparable school.

The agreement clarifies that teaching stream faculty are entitled to have at least one term in six without courses assigned to focus on outside-of-class teaching related duties, expanded service activities, educational leadership activities, or even the opportunity to take extended vacation, for those who have banked vacation time.

While the norm is that teaching stream faculty will have non-zero weightings only in Teaching and Service, current Lecturers who also have a non-zero weighting in Scholarship will be able to keep it, whether they transition to the new ranks or not.

Recognizing the value of a permanent teaching stream

The University and FAUW believe this new agreement recognizes the value that a permanent teaching stream faculty will bring to the University. It assures a reliable and committed group of excellent teachers delivering education at Waterloo both inside and outside of the classroom. What's more, through their educational leadership efforts, teaching stream faculty will enhance the culture of teaching and learning and help lead pedagogical innovations as the University evolves.

Unlike other research-intensive universities in Canada with a professorial teaching stream, the agreed maximum teaching load for permanent and definite term teaching stream are the same. As such, financial incentives to hire definite term rather than permanent teaching stream faculty are minimized. Given the benefits permanent teaching stream faculty bring, it can be expected that definite term teaching stream appointments will occur only when there is a compelling practical or strategic reason for doing so.

We also jointly believe that these terms and conditions of employment for current and future teaching stream faculty are among the best in Canada. This agreement not only facilitates rewarding and stable careers, but also ensures the wider University community will benefit from the talent and expertise Teaching Stream faculty members offer.

We'll share more information online

We know that there is a lot to digest in this message. We're pleased to [share some questions](#) we expect you may want answered. This includes more information on the transition arrangements for current lecturers, and more. The full agreement will be shared on the [Provost Office website](#) when our Faculty Relations Committee has received and reviewed the documentation.

The University and FAUW will be making best efforts to obtain necessary approvals of the agreed changes (from the President, Senate, and the Board of Governors for policy revisions, and from Faculty Relations Committee, a vote of faculty members represented by FAUW, and the Board of Governors for required adjustments to the Memorandum of Agreement). We are optimistic that this agreement will be met positively by those committees and by the Senate so that we can begin the implementation of the policies as soon as practicable.

We'd both like to reiterate our thanks to the members of the Policy Development Committee legal counsel for the University and FAUW, and the mediator for all their diligent work in reaching this agreement.

James W.E. Rush

Vice-President, Academic and Provost
[Office of the Provost](#)

David Porreca

President, Faculty Association of the University of Waterloo
[Faculty Association of the University of Waterloo](#)

SCHEDULE “A”

Policy 76 – Faculty Appointments

Established: June 6, 2000

Last Updated: IMPLEMENTATION DATE

Class: F

1. INTRODUCTION

This policy defines appointment categories (regular, research, visiting, adjunct, special), appointment types (tenured or permanent, probationary, definite-term) and appointment intensities (full-time, part-time, fractional load) for faculty appointments at the University of Waterloo. Hiring procedures for regular faculty appointments are described in Section 6.

Faculty appointments can be made in departments, schools, Faculties, or other academic units approved by the Board of Governors. The approval route is: department Chair, Faculty Dean, Vice-President Academic & Provost (VPA&P); new appointments with tenure also require approval of the Board of Governors. Faculty appointments are reported to Senate for information.

2. FACULTY APPOINTMENT CATEGORIES

A. Regular Faculty Appointments

As of [IMPLEMENTATION DATE], Regular Faculty appointments are made in two mutually exclusive categories: Tenure Stream and Teaching Stream. The ranks in the Tenure Stream are: Assistant Professor, Associate Professor, and Professor. The ranks in the Teaching Stream are Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; and Professor, Teaching Stream. Additionally, there may remain Lecturers with permanence (Continuing Lecturers, see section 3D) appointed before [IMPLEMENTATION DATE]; these are also deemed Teaching Stream appointments. These seven titles, without additional qualifiers or with the qualifier “clinical”, are reserved for regular faculty appointments.

Definite-term appointments in the Tenure Stream may be made at the rank of Assistant Professor, Associate Professor, or Professor. Definite-term appointments in the Teaching Stream may be made at the rank of Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; or Professor, Teaching Stream. Definite-term appointments are intended to meet time-limited needs of an academic unit and are to be made with the explicit understanding that no commitment to any further appointment, whether definite-term, probationary, or tenured/permanent is implied (see 3.A). Examples of appropriate definite-term appointments, include, but are not limited to, replacing faculty members on extended leave, or who have been assigned duties outside the Department, or to serve in a Department where there are specific and time-limited Department workloads that do not require permanence or Tenure Stream appointments.

Definite-term appointments in the Teaching Stream are limited to teaching and service, and formal teaching duties are normally assigned in all three terms. Definite-term appointments in the Tenure Stream normally have duties in teaching, service, and scholarship; formal teaching duties are often assigned in all three terms.

When considering the creation of definite-term appointments, it is important to ensure that the duties involved are appropriate to the job category, whether Tenure Stream, Teaching Stream, or a professional staff appointment.

These appointments may be made on a full-time or fractional-load basis. Clinical faculty appointments can be made at all these ranks. Reference to faculty ranks in this policy include all regular faculty appointments, including clinical appointments, except where explicitly noted otherwise.

Faculty members in the Tenure Stream contribute to teaching, scholarship and service. Faculty members in the Teaching Stream contribute to teaching and service and do not normally have a scholarship weighting greater than zero. For further details, see Sections 2B and 2C, Tenure Stream Expectations and Teaching Stream Expectations.

Faculty members in the Tenure Stream are not eligible for transfer to the Teaching Stream without applying for and being appointed to an open position following standard hiring practices. Faculty members in the Teaching Stream are not eligible for transfer to the Tenure Stream without applying for and being appointed to an open position following standard hiring practices.

B. Tenure Stream Expectations

Faculty members in the Tenure Stream contribute to all aspects of delivering on the University's mission: teaching, research and scholarship, and play the primary role in the University's efforts to deliver on its mission in research and scholarship. They also play an important role in the operation of the University through their service contributions. Regular full-time faculty in the Tenure Stream are normally assigned formal teaching duties in two of the three terms in which the University operates, but are expected to engage in scholarship, supervise students as required, and contribute to University service throughout the year. However, due to the close relationship between clinical practice and scholarly activity for clinical faculty, it is typical and appropriate for the clinical teaching duties for clinical faculty in the Tenure Stream to be spread over all three terms.

During a term for which formal teaching duties are not assigned, Tenure Stream faculty members are expected to increase their scholarly activity. In special circumstances, a faculty member and the department Chair may arrange a different assignment of responsibilities. Any such arrangement must be documented and must have the formal approval of the Faculty Dean.

Professorial rank is intended to reflect a faculty member's stature and record of accomplishment as a teacher and scholar. An Assistant Professor normally has a doctorate or terminal professional degree, as well as experience or strong potential in teaching and scholarship. An Associate Professor has demonstrated ongoing competence, maturity and independence in teaching and scholarship. A Professor has demonstrated a clear commitment to teaching and has shown

substantial achievement in research as evidenced by the production of a body of scholarly work that is widely known and respected.

C. Teaching Stream Expectations

Faculty members in the Teaching Stream contribute primarily to the teaching mission. They are expected to contribute to and advance a culture of teaching excellence and educational innovation that enhances education. Some Teaching Stream faculty members have appointments that involve especially large service contributions.

An Assistant Professor, Teaching Stream often has a doctorate, a terminal professional degree or credential, or special industrial, professional or other experience that is highly valuable for teaching in their discipline, as well as strong potential or experience in teaching. An Associate Professor, Teaching Stream has demonstrated ongoing proficiency, maturity, and independence in teaching. A Professor, Teaching Stream has demonstrated a continuing and longstanding record of (i) highest quality teaching both as part of formal course-based teaching and outside of this formal teaching, as detailed in the University's Framework for Teaching Effectiveness and Addendum, and (ii) educational leadership.

D. Tenure, Permanence, and Promotion

Procedures for tenure and promotion and permanence and promotion consideration for faculty members who hold probationary appointments and promotion procedures for faculty members who hold tenured or permanent appointments are set out in Policy 77. For those holding definite-term appointments, a recommendation to reappoint at a higher rank shall be considered by the Faculty Tenure, Permanence and Promotion Committee (FTPPC), and requires the approval of the Dean and the Vice-President, Academic & Provost.

The results of annual performance reviews carried out for each faculty member must be taken into account in consideration for reappointment, tenure/permanence or promotion.

E. Other Faculty Appointments

All faculty appointments, other than regular appointments as described in the preceding section, are definite-term appointments (see 3.A). They may be full-time or part-time, as specified in the letter of appointment.

Research Appointments

These appointments carry the titles Research Professor, Research Associate Professor or Research Assistant Professor, with rank determined according to the same scholarship criteria that apply to regular faculty appointments. A recommendation to reappoint at a higher rank shall be considered by the FTPPC, and requires the approval of the Dean and of the Vice-President, Academic & Provost.

Research faculty members are normally appointed to an academic department or school, and their duties are as specified in their appointment letters. Duties will be primarily research-oriented, but in some cases may include some service, teaching and/or student supervision. Research faculty

members should be encouraged to take part in the normal life of the department and Faculty, as permitted by their research duties. The performance of research faculty members should be reviewed annually, in accord with the nature of the appointment as specified in the letter of appointment, by the research director (supervisor, principal investigator) and the department Chair. Where the appointment includes components of service, teaching or student supervision, the department Chair shall review the performance of the research faculty member in these specific areas annually. The results of all such reviews shall be communicated to the research faculty member as soon as possible upon completion.

Research appointments are definite-term, and may be conditional on the availability of external research funding, as specified in the letter of appointment. A conditional appointment may be terminated should the external research funding for this purpose be discontinued; otherwise the usual considerations for definite-term appointments apply (see 3.A). If a research appointment is terminated prior to the contract end-date because external research funding is discontinued, any salary component promised from department operating funds and the associated teaching or other duties may, at the option of the appointee, be continued until the end of the definite-term contract period.

Visiting Appointments

These appointments are definite-term, normally of duration one year or less, and carry the titles: Visiting Professor; Visiting Associate Professor; Visiting Assistant Professor; Visiting Professor, Teaching Stream; Visiting Associate Professor, Teaching Stream; or Visiting Assistant Professor, Teaching Stream.

Adjunct Appointments

These appointments carry the titles Adjunct Professor; Adjunct Associate Professor; Adjunct Assistant Professor; Adjunct Professor, Teaching Stream; Adjunct Associate Professor, Teaching Stream; or Adjunct Assistant Professor, Teaching Stream. They are made to individuals, external or internal to the University, who are qualified to undertake certain specific responsibilities within an academic unit for teaching, scholarship or the co-supervision of students. Where appropriate, adjunct faculty members should be encouraged to take part in the normal life of the academic unit and Faculty.

Special Appointments

The titles given (e.g., Visiting Critic, Writer-in-Residence, Resource Person) are expressive of the functions performed; the normal ranks are not used.

F. Miscellaneous Appointments

Overload Appointments

An individual who already has a faculty appointment in one of the other categories and who is asked to take on specific duties additional to their normal responsibilities may be given an overload appointment with additional remuneration. An overload appointment is for a definite-term, and requires approval of the Chair of the individual's home department.

Cross and Joint Appointments

The terms 'cross' and 'joint' applied to appointments denote administrative arrangements, not different appointment categories. A faculty member with a joint appointment has responsibilities in two or more academic units to such an extent that these units share salary and other expenses. A cross appointment does not involve cost sharing, but does identify a faculty member who is formally associated with the work of more than one academic unit.

Administrative Appointments

Faculty may hold administrative appointments as department Chairs, Deans, Vice-Presidents and so on. These appointments are covered by separate policies, and are not categories of faculty appointment under this policy.

Honorary Titles

The titles Professor Emeritus/a and Distinguished Professor Emeritus/a are honorary designations, and do not indicate categories of faculty appointment under this policy.

3. TYPES OF FACULTY APPOINTMENT

A. Definite-Term Appointments

A definite-term appointment is an appointment for a contractually limited period of time. Although reappointment is not precluded (except by the time limits indicated below), a faculty member on a definite-term appointment is not entitled to consideration for reappointment upon the expiration of the term.

A definite-term appointment is for any period up to five years, with the provision that contracts for 1 day less than a multiple of 4 months, and other similar practices, are prohibited. Wherever practical, definite-term appointments should end on April 30, June 30, August 31, or December 31 to line up with the end of academic terms. For those whose first definite-term regular appointment was made after [IMPLEMENTATION DATE], no further definite-term appointments can be made beyond the fifth year; however, they may be considered for probationary appointments.

A faculty member with a definite-term appointment of one year or more shall be notified by the Dean no less than six months before the end of the contract with regard to reappointment. Should this deadline for notice be missed, the contract will be extended by an additional month for each partial or whole month by which notice is late. (For example, if the end date of a contract is April 30, notice is due by October 31 in the previous calendar year. If notice is not given until December 6, the contract would be extended by two months until June 30.) Faculty members with definite-term appointments of less than one year may request, in writing, notification concerning reappointment on or after the mid-point of their contracts, and the Dean shall respond within one week.

For regular faculty members, a recommendation to terminate a definite-term appointment before the contractual completion date is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo. For

non-regular faculty members, a termination before the contractual completion date is handled in accordance with the Employment Standards Act of Ontario.

B. Probationary Appointments

A probationary appointment is a regular faculty appointment for a contractually limited period of time. While probationary appointments can be made at any rank in the Tenure Stream or the Teaching Stream, they are generally made at the ranks of Assistant Professor and Assistant Professor, Teaching Stream. A faculty member holding a first probationary appointment is entitled to formal consideration for reappointment to a second probationary contract. A faculty member holding a second probationary appointment is entitled to formal consideration for tenure or permanence; see Policy 77. Faculty members with probationary appointments are not eligible for promotion prior to the granting of tenure or permanence.

A first probationary appointment shall have an end-date of June 30, and its duration shall be at least two years and ten months, but less than three years and ten months. A second probationary appointment shall be for three years. If an appointment is at fractional-load, the duration of each probationary appointment may be extended by one year. Pregnancy, or parental leaves reduce the time available to prepare for tenure or permanence consideration. Therefore, the probationary period and the time to tenure decision will be extended as described in Policy 14, Section 12.

An extended period of illness that prevents the fulfillment of duties can reduce the time available to prepare for tenure or permanence consideration. A period longer than 180 days may result in a Long Term Disability leave, in which case an extension to the probationary appointment and the time to tenure/permanence decision shall be made. A continuous period of debilitating illness which prevents the fulfillment of duties, but does not result in Long Term Disability, may also be eligible for an extension to the tenure/permanence clock upon application to the Dean. Normally such extensions will be for one year; renewable depending on the severity and continuation of the illness as determined by the University Physician. The applicant shall provide relevant medical information to the University Physician, who will provide detailed written advice to the Dean. The University has the right to request a second medical opinion, at the University's expense. Any medical information provided shall be kept in a separate confidential file, accessible only by the University Physician. If the Dean denies the request, they shall provide written reasons to the applicant, who may appeal the decision to the Vice-President, Academic & Provost. The decision of the Vice-President, Academic & Provost is final.¹

Consideration for reappointment to a second probationary appointment shall occur during the final year of the first probationary appointment; see below. If reappointment is not approved, the candidate's appointment shall be extended as necessary to provide twelve months' notice from the date they are informed of the Dean's negative decision.

¹ Policy 57 – Employee Accommodation is currently being amended. Section 3B of Policy 76 will be revised upon the finalization of Policy 57. In the interim, Occupational Health plays the specified role of the University Physician.

Termination of a probationary appointment prior to the contractual end-date constitutes dismissal and is subject to the terms set out in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

Probationary Reappointment

The Chair shall give the candidate written notification of consideration for reappointment at least 13 months before the end-date of the first probationary appointment. The candidate shall meet with the Chair to discuss the process to be followed and the materials to be submitted. Except in unusual circumstances, external reference letters are not required for reappointment; however, if the candidate and/or the Department Tenure, Permanence and Promotion Committee (DTPPC) decide that external referees should be contacted, the procedures in Section 6 of Policy 77 shall apply. The Department (DTPPC), Faculty (FTPPC) and University Tenure, Permanence and Promotion Advisory (UTPPAC) Committees are described in Section 5 of Policy 77.

For reappointment of Tenure Stream faculty members, the candidate is expected to present a record as a good teacher and evidence of scholarly or creative work as described in sections 2 and 3 of Policy 77. The DTPPC shall assess whether the candidate is making satisfactory progress towards tenure, recognizing that at this stage it may be necessary to make judgments in some areas based on potential. The DTPPC Chair shall forward the DTPPC recommendation to the Dean and shall inform the candidate in writing, including reasons if the recommendation is negative.

For reappointment of Teaching Stream faculty members, the candidate is expected to present a record (i) as an effective teacher and evidence of becoming a strong teacher, both as part of formal course-based teaching and outside of this formal teaching, as detailed in the University's Framework for Teaching Effectiveness, and (ii) of satisfactory service, as described in sections 2 and 3 of Policy 77. (In the case of Teaching Stream faculty members with service weight greater than or equal to 40%, expectations for Service are higher than "Satisfactory" because of the prominence of this part of their roles.) The DTPPC shall assess whether the candidate is making satisfactory progress towards permanence, recognizing that at this stage it may be necessary to make judgements in some areas based on potential. The DTPPC shall forward the DTPPC recommendation to the Dean and shall inform the candidate in writing, including reasons if the recommendation is negative.

The candidate may appeal a negative decision in writing to the FTTPC within ten working days of being notified. For purposes of the appeal, the FTTPC shall be chaired by its non-voting UTPPAC member; the Dean and the DTPPC Chair shall be available to present evidence and to answer questions, but shall not otherwise participate in the proceedings. The candidate may choose to appear before the FTTPC and may choose to be accompanied by a UW academic colleague. The FTTPC shall decide whether to reappoint and shall inform the candidate and the Dean in writing, including reasons if the decision is negative. The FTTPC shall conduct its proceedings in accordance with the principles of natural justice and its decision shall be final and binding, except that an alleged failure of the FTTPC to comply with the above procedures may be grieved under the grievance and arbitration provisions of the Memorandum of Agreement between the Faculty Association and the University.

The Dean and/or Chair shall write to candidates who are to be reappointed to summarize any concerns that may have been identified, and to provide advice on preparing for future tenure/permanence consideration.

C. Tenured and Permanent Appointments

Tenure and permanence are forms of continuing appointment granted only to regular faculty members, full or fractional load, in the Tenure Stream and Teaching Stream respectively. Tenure will be awarded only at the ranks of Associate Professor, or Professor; permanence will be awarded only at the ranks of Associate Professor, Teaching Stream, or Professor, Teaching Stream. Continuing Lecturers appointed before [IMPLEMENTATION DATE] who opted to retain that status will also be deemed to have permanence. For clinical faculty, the term “clinical tenure” is sometimes used, for instance in advertising open positions. This alternative terminology does not reflect any difference in the status of the appointment; it is in place because it is sometimes useful to indicate that suitable candidates for the position can have scholarly or teaching activities that differ from those typical of non-clinical faculty. In particular, scholarly activities may focus on activities described in Policy 76, sec. 2 as “new applications of knowledge to the problems of society.”

Normally, faculty members are considered for tenure or permanence during their fifth or sixth year of probationary appointment at the University of Waterloo. The criteria and procedures for the granting of tenure or permanence are set out in Policy 77.

An initial appointment with tenure or permanence is unusual and can be made only at the rank of: Professor; Associate Professor; Professor, Teaching Stream; or Associate Professor, Teaching Stream. An appointment with tenure or permanence must be recommended by the FTPPC, and requires approval by the Dean, the VPA&P and the Board of Governors.

A tenured or permanence appointment can be terminated prior to retirement only for adequate cause or for reasons of financial exigency. Dismissal of a tenured or permanence faculty member is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo. Similarly, dismissal of a Continuing Lecturer is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

D. Lecturer Appointments

Lecturers are regular faculty appointments made on a full-time or fractional-load basis and are of two types: definite-term or continuing. Effective [IMPLEMENTATION DATE], new appointments will no longer be made to the rank of Lecturer.

Continuing Lecturers appointed before [IMPLEMENTATION DATE] who did not elect to transition to the professorial Teaching Stream ranks will maintain the same terms and conditions of employment that applied to the rank of Lecturer prior to the introduction of the professorial Teaching Stream ranks.

Dismissal of a Continuing Lecturer is handled in accordance with the procedures outlined in the Memorandum of Agreement between the Faculty Association and the University of Waterloo.

This appointment category and any other reference to the rank of Lecturer or the title of Continuing Lecturer shall be removed from policy once no faculty members remain who continue to hold an appointment at the rank of Lecturer.

4. OTHER INFORMATION

A. Participation in Roles and Governance

Regular Tenure Stream faculty members and regular Teaching Stream faculty members have equal rights with respect to participation in University governance. In particular, all regular faculty from both streams may attend and vote at Department meetings and Faculty Council meetings, although it is appropriate that for some longer-term decisions voting may be restricted to probationary, tenured, and permanent faculty members.

Probationary, tenured and permanent faculty members from both streams may sit on and be eligible for election to appropriate departmental, Faculty and University committees and service roles, noting that for some of these roles differential eligibility is indicated in Policy, procedures, or as a reasonable qualification for a particular role.

B. Issues Particular to Teaching Stream

“One-in-Six” Term

With the exception of clinical faculty members, full-time faculty members in the Teaching Stream are entitled to at least one term out of six in which they are not assigned courses to teach. More precisely, in every two-year period beginning January 1 of an odd-numbered year and ending 24 months later, full time Teaching Stream faculty members are entitled to take at least one term without assigned courses; Teaching Stream faculty members whose positions started after January 1, 2025 and whose appointment date was in an even-numbered year shall have their two-year windows begin on January 1 of even-numbered years.

One such term without courses assigned shall be designated the “one-in-six” term in an agreement between the faculty member and their Chair, and a formal list of these terms will be kept by the Chair. In this “one-in-six” term, faculty members in the Teaching Stream will focus more closely on other pedagogical elements, educational elements, and/or educational leadership in support of teaching as described in the University’s Framework for Teaching Effectiveness.

By mutual agreement between a faculty member and the Chair, the timing of this term may be adjusted within the designated two year period; in extraordinary circumstances, the timing of this term can be moved into one of the first two terms in the subsequent two year period, resulting in two such terms in that period. Such agreements will make explicit in writing when a replacement term without formal teaching duties will occur.

During the Teaching Stream faculty member’s designated “one-in-six” term, no overload teaching is permitted.

Course Reduction

It is the intention of the University to support in every way possible the earned course reductions for probationary and permanent Teaching Stream faculty members as detailed below.

It should be clearly understood that granting earned course reductions is contingent upon the faculty member's department being able to make the necessary arrangements to accommodate such an absence, having taken reasonable steps to do so. Consistent with Policy #3 (Sabbatical and Other Leaves) granting of earned course reductions is also contingent upon the financial resources of the University in any given year.

Should problems arise in any of the above creating reasonable operational limitations on the ability to grant earned course reductions, it may be necessary to postpone individual requests until such time as all the conditions can be satisfied. In such circumstances, the member shall continue to accumulate course reduction credits, and this accumulation shall not be subject to approval by the Dean that is specified in subsection g.

- (a) Continuing Lecturers and definite-term Assistant Professors, Teaching Stream are not eligible for the earned course reductions laid out in Policy 76.
- (b) Probationary Assistant Professors, Teaching Stream hired after **IMPLEMENTATION DATE** will have their teaching load reduced by 1 course in the first year of their contract.
- (c) Probationary Assistant Professors, Teaching Stream hired after **IMPLEMENTATION DATE** who are re-appointed to a second probationary contract will have their teaching load reduced by 1 course in the first year after re-appointment.
- (d) Permanent Associate Professors, Teaching Stream and Professors, Teaching Stream will accumulate 1 course reduction credit for each assigned course (equivalent to 0.5 units) that they teach as part of their regular position. (Overload courses taught for a stipend are not eligible to contribute to course reduction credit.) Permanent Associate Professors, Teaching Stream and Professors, Teaching Stream will also accumulate course reduction credits for course reductions granted for service tasks that do not involve a teaching or educational leadership component. For instance, no credit would accumulate where earned course reductions are allocated for the purposes of developing teaching materials or serving as a Teaching Fellow, but would for roles such as Associate Chair, Associate Dean, Associate Vice-President. For service tasks involving multiple earned course reductions, and that partially involve a teaching or educational leadership component, careful consideration of the number of course reduction credits is required. The number of course reduction credits that will be granted for a service role shall be discussed with the faculty member and is subject to approval of the Chair and the Dean, and is to be documented in writing at the time of appointment.
- (e) Course reduction credits can be converted to earned course reductions at the rate of 13 course reduction credits for 1 earned course reduction (equivalent to a 0.5 unit).

Permanent Teaching Stream faculty members must apply to use earned course reductions (see subsections (h) and (i)). Course reduction credits can be converted starting in the term following the accumulation of the 13th course reduction credit.

- (f) Teaching Stream faculty members may share their preference in scheduling earned course reductions with their Chairs, and subject to operational requirements, reasonable efforts will be made to accommodate preference. When the intention of the Teaching Stream faculty member is to convert their earned course reductions into an additional term without assigned courses, additional efforts will be made to make this term adjacent to their one-in-six term if requested.
- (g) Generally, permanent Teaching Stream faculty members can accumulate at most 45 unused earned course reduction credits, which cannot be paid out at retirement. In exceptional circumstances (for example, when a project has to be delayed for project-related reasons or department-related reasons), additional course reduction credits may be accumulated with the approval of the Dean. (For clarity, in circumstances where a member has not used their earned course reduction entitlement, they will not lose their existing course reduction credits; however they will not continue to accumulate additional course reduction credits unless and until an earned course reduction is utilized.)
- (h) Permanent Teaching Stream faculty members can apply for 1, 2 or 3 earned course reductions in a given fiscal year, subject to the condition that one cannot apply for earned course reductions that are greater than half of that year's teaching load.
- (i) Earned course reductions are granted to enable projects or activities that have the potential to improve teaching and learning at University of Waterloo or more generally. The Chair and the Dean will be responsible for the approval of an earned course reduction on the basis of an application which sets out the tasks or project related to educational leadership which the faculty member intends to carry out. Where a Chair is considering not approving a reduction, they will first provide the member with feedback on the proposal and an opportunity to revise and resubmit. Proposals will also include a feasible work plan and should be submitted to the Chair at least 4 months prior to the beginning of the expected term in which the reduction would occur. As with sabbaticals, approval of future earned course reductions is contingent on satisfactory progress made with previous earned course reductions. Activities carried out during the time given by the earned course reduction will be considered for the purposes of the faculty member's next performance review.

5. FACULTY APPOINTMENT INTENSITIES

Full-time faculty appointments are 12-month appointments which carry an obligation for some combination of teaching, scholarship and University service throughout the full year, excepting annual paid vacation.

Part-time appointments may be made in any of the non-regular faculty appointment categories (Section 2.E). A part-time appointment carries a lower time commitment than does a full-time appointment, and may also have a more limited range of duties and responsibilities, as specified in the letter of appointment.

A fractional-load appointment is a regular faculty appointment that carries the same distribution of duties in teaching, scholarship and service as does a regular full-time appointment at the same rank, but the total commitment of time to the University is not as great. Fractional-load appointments can be made at any fraction of total load (normally at least 50%) that corresponds to a practical assignment of University duties. A faculty member who holds a probationary appointment on a fractional-load basis is entitled to formal consideration for reappointment or tenure at the same fractional load.

Regular faculty members may apply to change their appointments from full-time to fractional-load (or vice versa). Such changes require the written mutual agreement of the faculty member and department Chair, and must be formally approved by the Faculty Dean and the Vice-President, Academic & Provost.

Temporary Reduction in Workload

Faculty members who desire a temporary reduction in workload should apply for a partial leave of absence; see Policy 3.

A reduced load to retirement is a special fractional-load appointment with respect to participation in UW pension and benefit plans; see Policy 59.

6. HIRING PROCEDURES FOR REGULAR FACULTY MEMBERS

This section describes the procedures to be followed in hiring probationary and tenured/permanent faculty members, as well as those regular faculty members on definite-term appointments of at least three years duration.

Academic excellence, the cornerstone of UW's mission, is achieved by the commitment of the University community to the highest quality teaching, scholarship and services that support the academic enterprise. That commitment underlies admission and examination standards, hiring and promotion decisions, criteria for performance evaluation and academic goals.

Consistent with the mission of achieving academic excellence, UW is committed to recruit the best faculty possible, within the context of its budgetary considerations and academic programs, as well as priorities such as faculty renewal and employment equity. Faculty recruitment will be carried out through the application of the highest standards and best practices. Recruitment of faculty of the highest quality is a very competitive process and as such requires prompt actions on the part of all involved with the recruitment process. The VPA&P, Faculty Deans and Department Chairs will take appropriate administrative measures to realize this goal.

The need for a new or replacement appointment is identified by a Department Chair in consultation with the department. Authorization to advertise a position must be obtained from the Dean and the Vice-President, Academic & Provost to ensure that the appointment is consistent with

Faculty/University priorities and budgetary considerations. Care should be taken that the position is not defined so narrowly as to limit unreasonably the pool of qualified candidates.

Procedures are to be adopted to ensure that an adequate list of possible candidates of the highest quality is obtained through proactive national and, if appropriate, international searches and that selection from this list has been effectively carried out. The search process will continue until an adequate list of possible candidates of the highest quality is obtained.

Positions are advertised in University Affairs and/or the CAUT Bulletin, and normally in relevant professional journals and e-lists. Also, the Chair shall send advertisements to appropriate contact persons at other Canadian universities. Advertisements should specify the desired areas of specialization, the anticipated rank and starting date, the deadline for applications, and immigration requirements. They must include UW's employment equity statement. It is recognized that in a highly competitive environment, advertisement is a necessary tool for recruitment but is not a substitute for other forms of proactive recruitment such as identifying potential candidates through professional colleagues.

In addition, the Chair and other department members should strive to identify qualified candidates and encourage them to apply. This is particularly important when there is a serious gender imbalance in the department. In some cases, it may be necessary to exercise flexibility with respect to starting date and/or non-traditional career paths.

A. Department / School Advisory Committee on Appointments (DACA)

For each regular faculty appointment of duration more than two years, a search committee (DACA or equivalent for inter-departmental and joint appointments) shall be established. The DACA is normally chaired by the Department Chair or equivalent, and normally consists of from three to five tenured or permanent faculty members chosen in a manner acceptable to the department(s) or equivalent. In the case of smaller units where there may not be a sufficient number of tenured/permanent faculty members or when a particular disciplinary expertise is needed, senior probationary faculty members may be chosen to serve on the DACA.

It is highly desirable for the DACA to include both women and men. It is also desirable for the DACA to include both Tenure Stream and Teaching Stream faculty members, regardless of the stream of the position for which the DACA is hiring; when a Teaching Stream faculty member will be hired, it is particularly important that the DACA include Teaching Stream faculty. Where either of these desirable outcomes is not possible, a department, in consultation with the Dean, should consider inviting a faculty member from a related discipline to join the DACA.

The DACA shall participate in short-listing and interviewing candidates for the position, and shall provide advice to the department Chair concerning the selection procedure and suitability of the various candidates. In determining suitability, the DACA shall take into account UW's commitment to the highest quality teaching, scholarship and services which support the academic enterprise. Selected candidates must have demonstrated records or at least the potential to meet the above standards, as appropriate to the advertised position. The DACA will determine appropriate processes to evaluate candidate suitability based on these measures and the duties associated with

the position. These measures should include some form of teaching evaluation and, where appropriate, a research seminar. If there is significant disagreement between the advice of the DACA and the Chair's recommendation, it shall be noted, and become part of the record.

Candidates should be asked only questions relating to bona fide position or occupational requirements. Enquiries as to an applicant's birthplace, ancestry, marital status, family status, age, sex, religion, record of offenses or handicap are contrary to Human Rights legislation and could form the basis for a discrimination claim.

B. Role of the Department Chair

The Department Chair plays a critical role in the hiring process. It is the Chair's responsibility to ensure that candidates being interviewed and the selected candidate meet UW's expectation of the highest quality teaching, scholarship and services which support the academic enterprise. In addition, it is the Chair's responsibility to provide each candidate interviewed with information about salary levels, teaching loads, performance expectations, procedures for reappointment and/or the granting of tenure/permanence, and other terms and conditions of employment.

The Chair is expected to consult widely and generally to involve other department members in the hiring process (e.g., by making CVs of short-listed candidates available). Before making a hiring recommendation, the Chair must review with the Faculty Dean the list of candidates considered, ranked according to desirability for the position and department needs. If two candidates of different genders are judged to be equally suitable for the position, preference will be given to the underrepresented gender.

C. University Appointments Review Committee (UARC)

This Committee, appointed by the Vice-President, Academic & Provost in consultation with Deans' Council and the President of the Faculty Association, shall advise on regular faculty appointments of duration two years or more and, if requested, shall advise on regular faculty appointments of a shorter duration. UARC shall consist of one or more members from each Faculty, and shall include at least two women and two men. The term of office is three years, staggered to provide continuity. The Chair of UARC is chosen from among its members by the Vice-President, Academic & Provost.

UARC shall review the hiring process and provide advice to the Dean before a hiring recommendation is sent to the Vice-President, Academic & Provost for approval. The Chair (through the Dean) shall provide UARC with a brief summary of the recruiting process including efforts to solicit candidates from underrepresented genders. Documentation (such as CVs, letters of reference) will be provided for the top three candidates. If all three are of the same gender, documentation will also be provided for the top candidate of a different gender.

Special arrangements may be required to permit continuous recruitment for multiple vacancies when the hiring environment is highly competitive. The department Chair and Faculty Dean shall seek the advice of the UARC Chair on the proposed recruitment strategy, and shall obtain the written approval of the VPA&P.

Because faculty hiring is often highly competitive, UARC will respond expeditiously, usually within a week of receiving documentation. Normally, the UARC Chair will review cases in consultation with the UARC member from the relevant Faculty, and will act on behalf of the Committee. The UARC Chair should meet with the Committee, or a subset of it, if there appear to be problems with the hiring process.

In exceptional circumstances, and with the approval of the Vice-President, Academic & Provost, the UARC review process may be bypassed. When this occurs, the Dean shall provide reasons in writing to the UARC Chair for information.

More generally, UARC monitors the hiring process to ensure that positions were properly advertised, that both the letter and the spirit of the hiring procedure were followed and that there was a thorough search for candidates, especially candidates of the underrepresented gender. It provides advice to Chairs, Deans and the VPA&P with respect to faculty hiring, and reports to Senate annually, via the Vice-President, Academic & Provost, on its activities and operation.

D. Exceptional Candidates

The opportunity to recruit uniquely qualified, internationally recognized scholars may necessitate prompt hiring decisions to attract such individuals to become UW faculty members. In such cases, with the recommendation of the DACA(s) involved in the proposed hiring and in consultation with the VPA&P, the Dean(s) may waive normal hiring requirements. The following process will then ensue. After a departmental presentation by the candidate and upon a positive recommendation from the DACA(s) with the approval of the Dean(s) and Vice-President, Academic & Provost, the candidate may be offered a position. The Vice-President, Academic & Provost will provide an annual statistical report on such cases to Senate, with special attention to equity.

7. PROCEDURES FOR SPOUSAL APPOINTMENTS

In accordance with its academic mission, UW is committed to the principle of recruiting the best available faculty in its pursuit of excellence. Increasingly, recruiting involves couples who are both academics. In such cases, it is desirable for UW to benefit from the combined excellence of both the recruit and the recruit's spouse. Spousal appointments are intended as positions from which the spouse may find a more long-term position.

Spousal appointments are governed by the following criteria:

- The spousal appointee should be of such calibre that were a vacancy to arise in the spousal's hire area in the department/school, they would be a credible candidate for that position.
- The spousal appointment normally is a definite-term Appointment [see Section 3A], and normally is for a term of up to three years.
- The sponsoring unit must provide justification in support of the sponsoring unit recruit. The host unit through its appointments committee must also make a strong case in support of the spousal recruit.
- Due to the special nature of the spousal appointment, there is no requirement for advertising and competition, but all other requirements set out in section 6 must be met.
- UARC will review the two hire files concurrently.

- Department/School and Faculty approval processes (apart from advertising and competition for the spousal appointment) must be satisfied.

SCHEDULE "B"

Policy 77 – Tenure, Permanence and Promotion of Faculty Members

Established: June 5, 2000

Last Updated: **INSERT DATE**

Class: F

1. INTRODUCTION

Universities exist to develop society's intellectual resources and to preserve its intellectual traditions. Their primary functions are to preserve, evaluate, develop, and transmit knowledge, intellectual skills and culture. The modern university is expected to provide intellectual leadership to society, to contribute in a major way to the coordination of knowledge and the development of artistic, philosophical, scientific, and technological ideas, and to provide a fertile intellectual environment in which new knowledge and ideas can evolve. To achieve these goals, faculty members must be effective and committed teachers and scholars, constantly striving to expand and communicate their knowledge, ideas and understanding for the benefit of society.

Tenure and Permanence

Tenure and Permanence are meant to provide institutional support for academic freedom (see the Article on Academic Freedom in the Memorandum of Agreement between the University and the Faculty Association). The pursuit and dissemination of knowledge and the attainment of understanding through scholarship and teaching, which are essential functions of a university, occur best in an atmosphere in which free inquiry and discussion are fostered. Free inquiry and dissemination of knowledge may at times bring a faculty member into conflict with society, governments or the University itself. Tenure and permanence provide security of employment against pressures that might arise from such conflicts, in the belief that the University and society at large benefit from honest judgments and independent criticisms rendered by scholars who are free from fear of possible consequences that might arise from giving offense to powerful individuals or groups.

Tenure and Permanence provide stability for both individual faculty members and the University. Tenure and Permanence provide a faculty member with an environment conducive to long-term scholarly work and development as an educator. The University, for its part, is assured of a continuing group of teachers and scholars committed to the University, around which it can plan and from whom it can draw its academic leadership.

Professional Conduct

All faculty members are expected to conduct themselves in relations with colleagues, staff and students across the University in such a way as to promote the academic well-being of all concerned. Faculty members should avoid denigrating the character and professional competence of others, and should pass judgment on the work of colleagues only in the proper academic forums. Further, they should refrain from actions that prevent others from pursuing their legitimate activities and should strive to be helpful, readily contributing their time and expertise for the overall benefit of the academic community.

2. PERFORMANCE STANDARDS

The standards outlined here guide all decisions made at each stage of a regular faculty appointment, beginning with the original decision to hire. Because these standards are intended to apply university-wide to faculty members engaged in complex intellectual endeavours, they cannot be expressed in absolute quantitative terms. Nonetheless, they do provide a framework around which qualitative judgments can be made by academic administrators and by those serving on tenure, permanence and promotion committees.

The University expects all faculty members to maintain high standards in all aspects of their university work. To this end, the University exercises judgments on performance in the basic areas of a faculty member's academic responsibilities. Such judgments must be made with the greatest possible care and fairness as they are reflected in decisions regarding salary, reappointment, tenure/permanence, and promotion.

It is the responsibility of department Chairs to assess the performance of each probationary or definite-term regular faculty member annually and each tenured or permanent faculty member every two years, to provide a written performance review, and to be available to discuss it upon request. Performance reviews are especially important in helping new faculty members gauge their progress towards meeting the standards for reappointment and tenure/permanence. Annual/Bi-annual performance reviews form part of the evidence in tenure/permanence and promotion considerations, together with reports from referees and more extensive career reviews carried out by the Department Tenure, Permanence and Promotion Committee (DTPPC).

Teaching

University teaching is informed and enriched by the research, scholarship and service of its faculty. The University expects its regular faculty members to keep academic programs and courses current with developments in their fields and, where appropriate, to communicate both their discoveries and their commitment to scholarship and research.

The purpose of teaching is to facilitate learning. Thus, effective teaching draws the strands of a field together in a way that provides coherence and meaning, places what is known in context, lays the groundwork for future learning, and opens the way for connections between the known and the unknown. Effective teaching is an important goal of the University and consists of much more than what happens in the classroom. As detailed in the University's Framework for Teaching Effectiveness, and its Addendum.

University teaching encompasses a wide range of activities. It takes many different forms (e.g., undergraduate and graduate courses, graduate seminars, online education, project and thesis supervision), has many different components (e.g., synchronous lectures and tutorials, asynchronous learning elements, setting and grading of assignments and examinations, interaction with students outside the classroom, curriculum development), and can occur in many different environments (e.g., large lecture theatres, small seminar rooms, off-campus short courses and workshops, clinics, laboratories, one-on-one supervision, virtual platforms).

All faculty members from both streams are expected to contribute to undergraduate teaching. Where feasible, tenure stream faculty are expected to contribute to graduate teaching and to participate in project/thesis supervision. Where feasible and depending on the needs of their unit, Teaching Stream faculty are also eligible to contribute to graduate teaching and to participate in project/thesis supervision.

For purposes of assessing teaching, it is useful to single out particular sorts of contributions to the quality of teaching and learning that extend beyond course instruction and supervision. Some such activities are those that improve an individual instructor's performance, the quality of the classes they teach or the supervision they provide, while others (referred to as *educational leadership* activities) have a substantial positive impact on the quality of teaching and learning beyond the individual faculty member's courses, the programs in which they teach, or the students they supervise.

In all of their teaching activities, faculty members are expected to be fair in the evaluation of student work and constructive in their comments. They are expected to be available to students for interviews and consultations outside the classroom at reasonable times. They must always respect the integrity of their students and carefully avoid any exploitation of them for private advantage. They must maintain strict confidentiality with regard to students' personal lives and political and religious views. They must comment on academic progress and provide judgments on character only to appropriate persons and in appropriate circumstances, and must always be as fair and as objective as possible when making assessments and providing letters of reference.

Scholarship

The University expects Tenure Stream faculty members to be active participants in the evolution of their disciplines and professions. Where feasible, faculty members are expected to seek external funding to support their scholarly work.

Scholarship may take several equally valuable forms. One is the discovery of new knowledge, which may differ from discipline to discipline, and includes the generation of new concepts, ideas, principles and theories. A second form involves the innovative coordination, synthesis or integration of knowledge. This type of scholarship seeks and promotes understanding in a broader context by organizing knowledge in a new and useful way, by illustrating new relationships between the parts and the whole, by relating the past in a new way to the present and future, or by demonstrating new and significant patterns of meaning. Scholarship may also be observed in new and useful applications. Indeed, significant new applications of knowledge to the problems of society represent important scholarly contributions. Novel applications may take many forms, such

as creative writing, design, fine and performing arts, innovative clinical or professional practice, and the discovery, development and transfer of technology for societal benefit. Peer-reviewed research with respect to pedagogy and peer-reviewed research with respect to innovative teaching also constitute scholarly activity.

Although any of these scholarly activities may be carried out on a confidential basis, the expectation of the University is for communicated scholarship. In general, only work that is accessible for peer review or professional adjudication can be considered in assessing scholarship for performance reviews, tenure or promotion. Regardless of the discipline and type of scholarship, the key ingredients are the originality, quality and impact of the scholarly work.

Faculty members are expected to meet the ethical standards for scholarship in their particular fields of endeavour; to observe the University's guidelines and policies with respect to ethical conduct in research; and more generally, to act with integrity, truthfulness and honesty in the conduct and communication of their scholarly work.

Service

In addition to their primary duties of teaching and scholarship, regular faculty members have a responsibility to participate in the effective functioning of the University through service on committees, student advising, coordination of activities and in administrative positions. It is important that all faculty members be willing to assist with administrative duties when their help is needed. Many faculty members also provide valuable service to groups outside the University, such as disciplinary or professional organizations, conferences, journals and granting councils. Community service related to a faculty member's scholarly activities is normally considered as service to the University.

3. PERFORMANCE ASSESSMENT

Peer assessment forms the basis for determining the suitability of a faculty member for the granting of tenure/permanence or for promotion. Insofar as possible, tenure, permanence and promotion committees shall base their assessments on evidence that is first-hand and direct.

Assessment of Teaching

University teaching involves much more than “classroom performance”. As described in the University’s Framework for Teaching Effectiveness, teaching includes many dimensions, including Design, Implementation, Learning Experience, and Professional Development. It is normal that different dimensions are emphasized at different times in a teaching career. Hence, it is important to develop a fair assessment of effectiveness across the candidate's full spectrum of teaching activities. A holistic assessment of teaching effectiveness includes examining these various dimensions, as relevant, and using appropriate instruments in each case.

Teaching effectiveness should be assessed broadly using evidence gathered from multiple sources, often including self-reflection from the faculty member (often via a teaching dossier, annual/bi-annual performance reports, etc.), peer reviews of teaching, student course perception survey data

and comments, evaluations of graduate supervision (where applicable), and possibly other sources. The opinions of former students can also be of value if solicited on a systematic basis.

Assessment of Scholarship

The University relies primarily on external referees and members of the DTPPC to judge a candidate's scholarly record. Although the University looks for evidence of active continuing scholarship, the volume of scholarly output is less important than its quality, originality and impact.

A candidate for tenure, permanence or promotion with a non-zero scholarship weighting must provide examples of their scholarly work for examination by referees and the DTPPC. The candidate is responsible for documenting contributions made to team research and jointly authored work. Joint work with students supervised by the candidate should be identified. The candidate must also provide an overview of their scholarly work to date, information about work in progress and a general indication of future plans.

High quality contributions to the synthesis of knowledge (e.g., books, monographs, review articles) and to non-traditional forms of scholarship (e.g., artistic exhibitions and performances, innovative design) can provide direct evidence of effective scholarship. Consulting reports and planning documents that are accessible for peer review and evidence of having produced improvements in clinical or professional practice may also be submitted as evidence of a candidate's scholarly contributions.

Other evidence of activity and standing as a scholar includes supervision of student research, invitations to present "keynote" addresses, election to and awards received from professional and disciplinary societies, service as a referee for journals and granting councils, and membership on government or professional committees.

The primary assessment of quality, originality and impact is made by referees and DTPPC members on the basis of examining examples of the candidate's work. Other less direct indicators include the rigour of the review processes for journals and conferences in which the candidate has published, the standards of publishing houses for books, and the extent to which other scholars have made reference to the work. In areas such as the fine and performing arts, similar information may be derived from the prestige of exhibitions and performances to which the candidate has contributed, professional reviews and the receipt of awards or prizes.

Assessment of service

Candidates for tenure/permanence or promotion shall provide information on their service activities in sufficient detail to allow the DTPPC to assess its quantity and quality. Where necessary, the DTPPC should obtain statements from those who have personally observed the candidate's service contributions both internal and external to the University. In the case of those positions with higher than typical assignment of duties for service (i.e. weighting of 40% or more), it is especially important to ensure sufficient evidence to evaluate the quality and quantity of service activity of a tenure/permanence or promotion candidate. Some service activities, such as

chairing a curriculum committee or editing a professional society journal, may also provide indirect evidence for scholarship or teaching.

4. TIMING AND CRITERIA

Candidates for tenure/permanence and promotion must apply to the department Chair not later than June 1 in order that their applications can be considered by the DTPPC and FTTPC during the fall term.

Consideration for tenure/permanence

A faculty member holding a second probationary Tenure Stream appointment is entitled to formal consideration for tenure, and a faculty member holding a second probationary Teaching Stream appointment is entitled to formal consideration for Permanence, which normally occurs during the second year of the second probationary appointment. However, the candidate may choose to postpone consideration until the third year. Employment as a regular faculty member beyond the second probationary appointment is possible only if tenure/permanence has been granted.

In exceptional circumstances, for instance where extensive experience was acquired at UW or elsewhere prior to the probationary appointment at UW, an individual may be considered for tenure/permanence earlier than the second year of the second probationary appointment. Such early consideration requires the agreement in advance of the candidate and the DTPPC plus the written agreement of the Dean. If either the DTPPC or the FTTPC recommends against tenure/permanence, early tenure/permanence consideration shall cease and the candidate must wait for tenure/permanence consideration until the final year of the second probationary appointment.

The granting of tenure to a probationary Assistant Professor carries with it appointment at the rank of Associate Professor, and the granting of permanence to a probationary Assistant Professor, Teaching Stream carries with it appointment at the rank of Associate Professor, Teaching Stream.

For Tenure Stream faculty members, the expectations for the granting of tenure are: a record as a good teacher committed to academic and pedagogical excellence; a record of high-quality and peer-assessed scholarly or creative work (normally demonstrated by publication or presentation in suitable academic or artistic forums); and a record of professional, university or community service. See sections II. and III. The granting of tenure normally will require a record of strong performance in both scholarship and teaching, with satisfactory performance in service. However, a candidate may also qualify for appointment as a tenured Associate Professor by virtue of very strong performance in scholarship or teaching with at least satisfactory performance in the other two areas.

Tenure is not a right: it must be earned by a record of good performance. By the time candidates are considered for tenure they will have had ample opportunity to develop their teaching skills and to make original contributions to their fields of endeavour. These original contributions must be of sufficient magnitude to give witness to a candidate's depth of understanding and scholarly and professional competence. Committees and external referees will be concerned not so much with the volume of scholarly output as with the depth of understanding and degree of scholarly

competence it demonstrates. Particular attention will be paid to assessing the likelihood that candidates will continue their scholarly activities once tenure has been awarded.

Candidates for tenure should have demonstrated their willingness to participate in service activities as described in Section II. However, service expectations are lower for probationary faculty than for tenured faculty, and service is not weighted as heavily as scholarship or teaching in tenure considerations.

Standards for Promotion

The standards to which faculty members strive for the granting of permanence and promotion on the Teaching Stream are broadly parallel to those on the Tenure Stream, but with important differences that reflect the different roles that faculty members on the two streams serve.

The expectations for the granting of permanence are: a record as a strong teacher committed to academic and pedagogical excellence; and a record of satisfactory professional, university or community service. While the default weights for a Teaching Stream faculty member are 80% Teaching and 20% Service, there are Teaching Stream faculty members with lower Teaching weights due to a higher Service load. For Teaching Stream faculty members with a service weighting of at least 40%, expectations for Service are higher than “Satisfactory” and increase as the weighting increases, because of the prominence of this part of their roles. Notwithstanding this higher service weight, as Teaching Stream faculty members, the expectation is still that a record as a strong teacher is maintained, regardless of their Teaching weight, recognizing that those with less than 80% Teaching may have less opportunity to demonstrate the quality of their teaching as those with 80% Teaching.

In exceptional cases, an Assistant Professor, Teaching Stream may have a non-zero Scholarship weighting as part of their appointment. In such cases, the granting of permanence normally will require a record of strong performance in teaching and good performance in scholarship, in addition to a record of service as described earlier. However, a candidate may also qualify for appointment as a permanent Associate Professor, Teaching Stream by virtue of very strong performance in teaching with at least satisfactory performance in scholarship, in addition to a record of service as described earlier. Generally, the expectations for the quality of scholarship will be the same as that for promotion to Associate Professor in the Tenure Stream, though the expectations for quantity must be moderated to recognize the time and opportunity their appointment provides to pursue scholarship.

Consideration for promotion to Professor

In principle, a tenured Associate Professor may apply in any year for promotion; however, it is unusual for such a promotion to occur prior to five years of full-time service in the rank of Associate Professor. If an application for promotion is unsuccessful, the candidate becomes eligible to reapply two years thereafter.

Promotion to the rank of Professor recognizes a high order of achievement in both scholarship and teaching by tenured Associate Professors, together with satisfactory performance in service. Although evidence of strong teaching performance is required, normally the greatest emphasis is

placed on scholarship and achievement within an individual's discipline. However, in exceptional cases, a tenured Associate Professor may be promoted on the basis of an outstanding teaching record accompanied by a continuing and long-standing record of satisfactory or better scholarship and service.

A continuous program of scholarship with positive peer review by nationally and internationally recognized scholars is essential for promotion to Professor. For clinical faculty, the relevant scholars will often be nationally and internationally recognized practitioners in the relevant fields, and may not have academic appointments. The candidate's record is to be judged in comparison with the records of faculty members recently promoted at UW and other universities of comparable standing. Promotion to Professor is not an assured step in the career of a Tenure Stream faculty member, and some will not attain this rank.

Consideration for promotion to Professor, Teaching Stream

In principle, a permanent Associate Professor, Teaching Stream, may apply in any year for promotion; however, it is unusual for such a promotion to occur prior to five years of full-time service in the rank of Associate Professor, Teaching Stream. If an application for promotion is unsuccessful, the candidate becomes eligible to reapply two years thereafter.

Promotion to the rank of Professor, Teaching Stream recognizes a high order of achievement in teaching and educational leadership by permanent Associate Professors, Teaching Stream, together with at least satisfactory performance in service. (Associate Professors, Teaching Stream with service weightings at least 40% must demonstrate at least strong service.)

A continuous record of strong teaching and of impact beyond the classroom via educational leadership activities is essential for promotion to Professor, Teaching Stream. The candidate's record is to be judged in comparison with the records of faculty members recently promoted at UW and other universities of comparable standing. Promotion to Professor, Teaching Stream is not an assured step in the career of a faculty member, and some will not attain this rank.

In exceptional cases, an Associate Professor, Teaching Stream may have a non-zero Scholarship weighting as part of their appointment. In such cases, promotion to Professor, Teaching Stream normally will require a record of high order of achievement in teaching and good performance in scholarship, in addition to a record of service as described earlier. However, a candidate may also qualify for promotion to Professor, Teaching Stream by virtue of outstanding performance in teaching together with long-standing satisfactory performance in scholarship, in addition to a record of service as described earlier.

5. TENURE, PERMANENCE AND PROMOTION COMMITTEES

Department Tenure, Permanence and Promotion Committee (DTPPC)

The DTPPC shall be chaired by the department Chair and shall include four to six tenured or permanent faculty members elected by the tenured, permanent and probationary faculty of the department. The Chair and elected members shall be voting members of the DTPPC. Normally, a majority of the DTPPC's voting members should be from the tenure stream; a majority of the

DTPPC's voting members should be at the rank of Professor or Professor, Teaching Stream; the DTPPC should include both men and women; and the DTPPC should include at least one member from the Teaching Stream. In addition, the Dean may appoint a non-voting advisor to the DTPPC.

In small departments or where there are too few faculty members at the rank of Professor or Professor, Teaching Stream to constitute a majority on the committee, or where there are insufficient appropriate Teaching Stream faculty members available to serve on the committee, the Dean, after consultation with the department and with the written approval of the Vice-President, Academic & Provost, may make other arrangements respecting the size and composition of the DTPPC. Nevertheless, if Teaching Stream faculty are likely to be evaluated for permanence or promotion, the Dean should strongly consider inviting a Teaching Stream faculty member from a related discipline to join the DTPPC.

In departments that include clinical faculty, when such faculty are likely to be evaluated for tenure or promotion, the DTPPC should include members with the requisite expertise to evaluate the scholarly contributions of the clinical faculty. Where this is not possible, a department, in consultation with the Dean, should strongly consider inviting a faculty member with such expertise from a related discipline to join the DTPPC.

By May 1 each year the Chair shall report the DTPPC membership to the Dean and to the department's tenured, permanent and probationary faculty, and shall invite those who wish to be considered for tenure/permanence or promotion to apply by June 1.

Faculty Tenure, Permanence and Promotion Committee (FTPPC)

The FTPPC shall be chaired by the Faculty Dean and shall include at least five tenured or permanent faculty members broadly representative of Faculty program areas and elected by the tenured, permanent and probationary members of the Faculty. A majority of the FTPPC's elected members shall be from the tenure stream and a majority shall be at the rank of Professor or Professor, Teaching Stream. The FTPPC should include both men and women and include at least one member from the Teaching Stream. FTPPC members may not serve simultaneously on a DTPPC in the same Faculty.

The Dean and elected members shall be voting members of the FTPPC, and the Vice-President, Academic & Provost shall appoint an additional voting member who shall be a tenured or permanent faculty member from outside the Faculty. The University Tenure, Permanence and Promotion Advisory Committee (UTPPAC) shall appoint a non-voting advisor from amongst its members. The Dean shall report the membership of the FTPPC to the Vice-President, Academic & Provost and to the Faculty's regular faculty.

University Tenure, Permanence and Promotion Committee (UTPPC)

The UTPPC shall be chaired by the Vice-President, Academic & Provost and shall include the Faculty Deans, the Associate Vice-President, Graduate Studies and Postdoctoral Affairs and the Vice-President, University Research and International. In addition, the UTPPC shall include two non-voting student members, one undergraduate and one graduate, appointed by the Vice-President, Academic & Provost in consultation with the President of the Federation of Students

and the President of the Graduate Student Association. The UTPPC shall be advisory to the President on individual tenure, permanence and promotion cases, and on the comparability of standards across the University.

University Tenure, Permanence and Promotion Advisory Committee (UTPPAC)

The UTPPAC shall consist of the Chair plus six additional tenured or permanent faculty members jointly appointed by the Vice-President, Academic & Provost and the FAUW President for three-year terms. A majority of the UTPPAC's appointed members shall be from the tenure stream and at least five shall be at the rank of Professor or Professor, Teaching Stream. Additionally, the committee should include both men and women and should include at least one member from the Teaching Stream. The UTPPAC Chair shall appoint a member of UTPPAC to each FTTPC, with no member serving on the FTTPC in their own Faculty. Otherwise, members of UTPPAC may not serve on any DTPPC or FTTPC.

The UTPPAC is advisory to Senate through the Vice-President, Academic & Provost concerning tenure, permanence and promotion standards, policies and procedures, and may recommend changes to the Vice-President, Academic & Provost. UTPPAC shall report to Senate annually on its activities.

6. TENURE AND PROMOTION PROCEDURES

Application for tenure or promotion to Professor

The candidate shall inform the department Chair in writing by June 1, and shall meet with the Chair to discuss the procedures to be followed.

Candidate's brief

For candidates in the Tenure Stream, by July 1 the candidate shall submit a brief supporting the application for tenure or promotion. The brief must include a curriculum vitae, copies of relevant scholarly work, a summary of the candidate's contributions in scholarship, teaching and service, and any other relevant information the candidate feels may be useful to the DTPPC and FTTPC. The candidate must also submit, by July 1, the names of at least three arms-length external referees who can assess their published work.

For candidates in the Teaching Stream, by July 1 the candidate shall submit a brief supporting an application for permanence or promotion. The brief must include a curriculum vitae, a summary of evidence of the candidate's contributions in teaching, in service, and in scholarship (where relevant), along with a teaching dossier and other relevant information the candidate feels may be useful to the DTPPC and FTTPC. The candidate must also submit, by July 1, the names of at least three referees, as described in more detail later in this Policy.

The teaching dossier should include the following sections:

- Teaching Responsibilities
- Statement of Teaching Philosophy
- Strategies Used to Teach Effectively

- (Optional) Scholarship
- Educational Leadership (required for promotion to Professor, Teaching Stream)
- Evidence of Teaching Effectiveness
- Goals in Future Teaching along with Appendices

Annual Performance Reviews

The Chair shall provide the DTPPC with copies of all written assessments made of the candidate within the department.

Referees for Tenure Stream candidates

For candidates in the Tenure Stream, external opinions of a candidate's scholarly contributions are sought in all tenure and promotion cases; normally at least three external reviews are obtained. External referees shall be both external to UW and at arms-length from the candidate.

The DTPPC shall consider the candidate's list of referees and normally will suggest additional names. After consulting with the Dean, the Chair shall inform the candidate of the pool of potential referees. The candidate may challenge, in writing to the DTPPC, a potential referee for bias, apprehension of bias, perceived conflict of interest or unsuitability. If the DTPPC and the candidate do not agree on the pool of potential referees, at least half of the referees contacted must be from those approved by the candidate.

Letters soliciting comments from referees shall be sent by the Dean. Referees shall be sent copies of this Policy, and shall be asked to assess the candidate's scholarly work and, if possible, to compare it with the scholarly achievements of others recently tenured at their own institutions or others of similar standing. Informal contacts with potential external referees by the department Chair, DTPPC or FTTPC members, or the candidate are inappropriate.

Referees for Teaching Stream candidates

For candidates in the Teaching Stream, confidential and objective assessments of the candidate's contribution in teaching are sought in all permanence and promotion cases. Normally at least three such reviews are obtained.

Appropriate expertise to evaluate a candidate in the Teaching Stream will generally require a substantial understanding of the culture of teaching at Waterloo and the opportunities for taking part in teaching activities both inside and outside of formal course-based teaching available to Waterloo faculty members. Where a referee is required for the assessment of educational leadership, this assessment will generally depend less on Waterloo-specific factors, although it will also benefit from an understanding on the referee's part of the opportunities that are available to faculty members at Waterloo. Since teaching contribution includes both activities that are part of formal course-based teaching and activities outside of formal teaching, as detailed in the University's Framework for Teaching Effectiveness and Addendum, the expertise required to evaluate a teaching contribution will be somewhat specialized and possibly highly variable. Those who count as appropriate referees will vary depending on the nature of the teaching contribution

the candidate has made. For candidates for permanence, at least two of the three referees will come from outside the candidate's department, though possibly from within their Faculty. For promotion to Professor, Teaching Stream, at least two of the referees must be from outside of the candidate's Faculty, one of which can be internal to the University and one of which must be external to the University.

The DTPPC shall consider the candidate's list of referees and normally will suggest additional names. After consulting with the Dean, the Chair shall inform the candidate of the pool of potential referees. The candidate may challenge, in writing to the DTPPC, a potential referee for bias, apprehension of bias, perceived conflict of interest or unsuitability. If the DTPPC and the candidate do not agree on the pool of potential referees, at least half of the referees contacted must be from those approved by the candidate.

In the cases of Assistant Professors, Teaching Stream or Associate Professors, Teaching Stream with a non-zero Scholarship weighting, a total of at least four referee letters must be obtained, at least two of which are from qualified external referees who provide an assessment of the candidate's contributions to Scholarship. If they are qualified and well-placed to do so, these referees may also be asked to assess the candidate's teaching.

Letters soliciting comments from referees shall be sent by the Dean. Referees shall be sent copies of this Policy and links to the University's Framework for Teaching Effectiveness and Addendum. Since a scholarship weighting greater than zero is unusual, in such cases the Dean will explain the size, duration, and reason for the scholarship weighting to facilitate fair assessment of the candidate's scholarly contribution by the referee. Informal contacts with potential external referees by the department Chair, DTPPC or FTTPC members, or the candidate are inappropriate.

Tenure, permanence or promotion file

The tenure, permanence, or promotion file for a candidate consists of: all evidence considered by the DTPPC, the FTTPC or the President; the DTPPC assessment of the candidate's performance in teaching, scholarship (where relevant) and service; the outcome of deliberations by the DTPPC, the FTTPC and the President. The file shall also include the numerical record of votes taken, plus any written statements, including reasons, by DTPPC or FTTPC members who do not agree with the majority recommendation. If the file is provided to the candidate, it shall include all internal or external letters of assessment with the names of the authors and other identifying references deleted, unless the authors have expressly consented to being identified.

Conflict of interest

A member of a tenure, permanence and promotion committee who has a conflict of interest in a particular case shall declare the conflict and shall be absent from the portion of committee meetings dealing with that case. In particular, no DTPPC or FTTPC member may attend those portions of meetings at which their own case is being considered (except when appearing as a candidate). If the Committee Chair has a conflict of interest, the committee shall elect another of its members to serve as Chair pro tem during the absence of the Chair.

Challenges

Prior to consideration of a case, a candidate may challenge in writing any member or members of a DTPPC or FTPPC for bias, apprehension of bias or perceived conflict of interest. The committee, excluding the member challenged, shall decide whether the challenge is well-founded. If so, the challenged member shall not attend those portions of committee meetings dealing with the specific case. If the committee decides that a challenge is not well-founded, the challenged member shall participate, but the challenge becomes part of the record for any subsequent consideration or appeal.

Procedures at the Department Level

The DTPPC shall meet to consider all applications from the department for tenure/permanence or promotion. It shall prepare an assessment of each candidate's performance in teaching, scholarship and service for Tenure Stream candidates. It shall prepare an assessment of each candidate's teaching and service (and, exceptional cases, scholarship) for Teaching Stream candidates. It shall decide whether to recommend tenure/permanence or promotion. The assessment should state clearly, and in detail, the evidence considered, the criteria applied to the evidence, the evaluation of the candidate in each of the relevant areas, and the emphasis placed on each area.

If a candidate's work intersects significantly with work in another academic unit, the Chair will normally ask an appropriate member or members of that unit for comment. The Chair shall forward to the DTPPC any written submissions assessing the candidate's qualifications for tenure/permanence or promotion.

If members of the DTPPC express significant reservations that could result in a negative recommendation, the Chair shall provide the candidate with a complete, suitably anonymized, copy of the tenure, permanence or promotion file, together with a written explanation of the nature of the reservations in sufficient detail to allow the candidate to respond. Within ten working days the candidate shall provide their written response (including any relevant new evidence) to the Chair for distribution to the DTPPC. The candidate may also choose to appear before the DTPPC and may choose to be accompanied by a UW academic colleague. The DTPPC shall not finalize its recommendation until the candidate has been given the opportunity to respond, as described above.

When the DTPPC has completed its deliberations, the Chair shall inform the candidate in writing of the outcome (including the basis for it, if negative), and shall forward the tenure, permanence or promotion file to the Dean for consideration by the FTPPC. When a negative recommendation has gone forward, the Chair shall inform the candidate that the FTPPC will review the case unless the candidate chooses to withdraw it.

Procedures at the Faculty Level

The FTPPC shall consider all positive tenure, permanence and promotion recommendations from a DTPPC to ensure that the DTPPC has acted carefully and appropriately in its deliberations, that its recommendations are sound and that comparable standards are being applied from department to department. Negative DTPPC recommendations will also be reviewed unless the candidate has chosen to withdraw their case.

The FTPPC shall base its deliberations primarily on the report forwarded by the DTPPC. The DTPPC Chair (or delegate) normally will present the DTPPC recommendations to the FTPPC and will be available to answer questions, but shall not otherwise participate in the proceedings. In exceptional circumstances, the FTPPC may decide to contact additional referees; if such additional referees were not in the original pool of potential referees developed by the DTPPC, the candidate's right to challenge must be respected, as specified above.

If members of the FTPPC express significant reservations that could result in a negative recommendation, the Dean shall provide the candidate with a complete, suitably anonymized copy of the tenure, permanence or promotion file, together with a written explanation of the nature of the reservations in sufficient detail to allow the candidate to respond. Within ten working days the candidate shall provide their written response (including any relevant new evidence) to the Dean for distribution to the FTPPC. The candidate may also choose to appear before the FTPPC and may choose to be accompanied by a UW academic colleague. The FTPPC shall not finalize its recommendation until the candidate has been given the opportunity to respond, as described above.

When the FTPPC has completed its deliberations, the Dean shall inform the candidate in writing of the outcome (including the basis for it, if negative). For positive recommendations, the Dean shall forward the tenure, permanence or promotion file to the President. Negative promotion recommendations by both the DTPPC and FTPPC shall result in the promotion file being closed for that particular year. Otherwise, negative FTPPC recommendations will be forwarded to the President unless the candidate chooses to withdraw the case.

The President

The President shall consider all tenure, permanence, or promotion recommendations forwarded by the FTPPC, together with the advice of the UTPPC.

If the President decides in favour of promotion, they shall inform the candidate and report the promotion to Senate and the Board of Governors for information. If the President supports the granting of tenure or permanence, they shall inform the candidate, recommend approval to the Board of Governors, and subsequently report the granting of tenure or permanence to Senate for information.

If the President decides against tenure, permanence or promotion, they shall inform the candidate in writing with reasons. In the event of a negative tenure, permanence or promotion decision, the candidate's appointment shall be extended as necessary to provide 12 months' notice from the date the candidate is informed.

7. TENURE, PERMANENCE AND PROMOTION APPEALS

A negative tenure, permanence or promotion decision by the President may be appealed. Within ten working days of being informed of the negative decision, the candidate must submit written notice of intent to appeal to the UTPPAC Chair, who shall establish a three-person Tribunal to hear the appeal.

Members of the Tribunal normally shall be or shall have been Associate Professors or Professors at the University of Waterloo in the candidate's discipline or a related discipline. For cases involving Teaching Stream faculty members, Associate Professors, Teaching Stream or Professors, Teaching Stream in the candidate's discipline or a related discipline are also appropriate. They shall not have had any prior connection with the particular tenure, permanence or promotion consideration nor have had a close professional or personal relationship with the candidate.

The candidate and the President shall each propose at least three possible Tribunal members in accordance with the above criteria, and shall be given the opportunity to challenge in writing the names proposed by the other party with respect to the criteria or for bias, apprehension of bias or perceived conflict of interest. The UTPPAC Chair normally shall appoint the three Tribunal members from the names proposed, including at least one member proposed by each of the parties, and shall name one of the members as the Tribunal Chair.

If the UTPPAC Chair judges that it is not possible to establish an internal Tribunal meeting with the above requirements, one or more of the three Tribunal members may be external to the University of Waterloo. External members shall be or shall have been tenured Associate Professors or Professors at another Canadian university in the candidate's discipline or a closely related discipline. In cases involving Teaching Stream faculty members, Associate Professors Teaching Stream, Professors, Teaching Stream, or those holding equivalent ranks at another Canadian University may also be appropriate candidates. They shall not have had any prior connection with the particular tenure, permanence or promotion consideration nor have had a close professional or personal relationship with the candidate. The candidate and the President shall be given the opportunity to propose external Tribunal members and to challenge in writing external members proposed by the other party or by the UTPPAC Chair.

The Tribunal shall conduct its proceedings in accordance with the principles of natural justice. The Tribunal shall be provided with the complete tenure, permanence or promotion file, and shall schedule a hearing at which the parties may present arguments and submissions, and may call, examine and question witnesses. The candidate is entitled to be accompanied by a UW colleague. The burden of proof shall be on the candidate to demonstrate that the criteria for tenure, permanence, or promotion have been met.

The Tribunal shall decide by majority vote on the basis of the evidence submitted to it whether the criteria for tenure, permanence or promotion have been met. The Tribunal Chair shall forward a written decision, with reasons, to the candidate and the President, with copies to the UTPPAC Chair and the FAUW President. The decision of the Tribunal is final and binding on the candidate and the University, except that an alleged failure of the Tribunal to comply with the above procedures may be grieved under the grievance and arbitration provisions of the Memorandum of Agreement between the Faculty Association and the University.

SCHEDULE “C”

The Parties agree to the following ‘Addendum’ to the University’s Teaching Effectiveness Framework. The Parties further agree that henceforth material changes to the Teaching Effectiveness Framework and Addendum (i.e., those likely to substantially affect determination of performance review scores for teaching and permanence/tenure/promotion) will require approval at FRC, since the Framework is now directly referenced in the Class F P76 and P77.

Addendum to the University’s Teaching Effectiveness Framework

The University’s [Teaching Effectiveness Framework](#) identifies aspects of effective teaching that the University community recognizes as valuable. In addition to the items listed in the Framework, this addendum makes explicit some examples of activities that can count towards effective teaching. This is relevant to all Waterloo faculty members and instructors, but given the special nature and emphasis on teaching for Teaching Stream faculty, the addendum is of particular relevance to those holding such positions.

It is not intended that any of these activities or outcomes are required, only that performance review and tenure, permanence, and promotion committees should recognize that the following activities can also be considered as a valuable part of teaching:

- For Teaching Stream faculty, discipline-based scholarship and creative activity directly relevant to the faculty member’s teaching activities (unless the faculty member has a Scholarship weighting greater than 0%).
- Pedagogical and professional work that allows the faculty member to maintain a mastery of their subject area, including professional accreditations, if applicable.

The above list and activities and outcomes listed in the Framework are not intended to be exhaustive.

For consideration for promotion to Professor, Teaching Stream, candidates are expected to have a substantial positive impact on the quality of teaching and learning beyond the individual faculty member’s courses, the programs in which they teach, or on the students that they supervise. Such broader activities are called “Educational Leadership” in Policy 76 and Policy 77. Examples of activities considered to be educational leadership include, but are not limited to:

- Development of teaching resources, such as textbooks, open educational resources, or digital modules available for use by other instructors;
- Active engagement in the scholarship of teaching and learning;
- Promulgating new teaching or assessment practices, especially if these are adopted by others;

- Leadership roles in the development of new programs and new educational pathways for students;
- Successful and influential performance of teaching leadership roles at the program, departmental, faculty or University level (e.g., serving as a Teaching Fellow; leading a curriculum committee; serving as a peer reviewer of teaching);
- External educational leadership roles; and
- Support for the teaching development of others, including colleagues and graduate students through mentorship.

SCHEDULE “D”

The University’s public messaging about a mediated agreement will include the following points:

- The University’s intentions for engaging in the process leading to the creation of professorial teaching ranks, and making the substantial investment involved in doing so, is a recognition of the value permanent teaching stream faculty will bring to the University.
 - They will be a reliable and committed group of excellent teachers delivering education at Waterloo both inside and outside of the classroom.
 - They will also, through their Educational Leadership efforts, enhance the culture of teaching and learning and help lead pedagogical innovations as the University evolves.
- These intentions are reflected in the structure of the agreement we have reached. Unlike other research intensive universities in Canada with a professorial teaching stream, the maximum teaching load for permanent stream and definite term teaching stream are the same. As such, financial incentives to hire definite term rather than permanent teaching stream faculty are minimized. Given the benefits permanent teaching stream faculty bring, it can be expected that definite term teaching stream appointments will occur only when there is a compelling practical or strategic reason for doing so.

SCHEDULE “F”

MOU RE COURSE ASSIGNMENT MAXIMUMS AND TRANSITION TO TEACHING STREAM

WHEREAS the University recognizes the value of permanent Teaching Stream faculty to enhance the culture of teaching and learning at the University of Waterloo through excellence in teaching both in and outside the classroom, as well as helping to lead teaching innovations as the University evolves;

AND WHEREAS the Parties recognize that the contributions of Teaching Stream faculty should be reflected in professorial titles and eligibility for permanence, and through other terms and conditions associated with this rank;

AND WHEREAS the Parties recognize that maintaining teaching excellence at the University of Waterloo depends on a reliable and committed teaching faculty and that Teaching Stream faculty contributing to this mission require transparent and consistent terms of employment and a pathway for career advancement that parallels the tenure stream;

AND WHEREAS the Parties reached an agreement regarding amendments to P76 and P77 and agree to the following transition provisions;

A. Course Assignment Maximums

1. The maximum course assignment for a teaching stream faculty member, (Assistant Professor, Teaching Stream; Associate Professor, Teaching Stream; Professor, Teaching Stream; Continuing Lecturer) with teaching weighting of at most 80% is 12 (0.5 credit) courses in a two academic year period. The maximum applies to all such teaching stream appointments, whether definite term, probationary or permanent.
2. Nothing in this Memorandum of Understanding precludes an individual Teaching Stream faculty member from voluntarily agreeing to teach additional courses on an overload basis (either for stipend or future credit), except where policy provisions forbid overload teaching in “one-in-six” terms. For clarity, where overload teaching is for stipend, there will be no accumulation of earned course reduction credits.
3. The contracted assigned course load for each Lecturer [including permanent adjustments made in a written agreement between the Lecturer and their Dean (or between the Lecturer and their Chair and approved by the Dean) that differ from their employment contract] will not increase as a result of transitioning to a new Teaching Stream rank. The parties further acknowledge that there may be units where there are established and longstanding practices that vary the assigned

course load for Lecturers (or perhaps just for Continuing Lecturers) from the contractually assigned load. These practices will be respected for an existing teaching stream faculty member who is employed as of the Implementation Date and whose history of assigned course loads is consistent with these practices. In the event of a dispute with respect to course load, this dispute will be addressed by a two-person committee jointly appointed by the Vice-President Academic and Provost and President of FAUW, which will make a final decision on each case.

B. Transition Provisions for Lecturers

The parties agree to the following transitional provisions for all current Lecturers following implementation of the amendments to P76 and P77. For clarity, the rank and status of Lecturers shall transition as set out below as of September 1, 2024 or as soon as practicable thereafter (the “Implementation Date”).

4. Continuing Lecturers shall have the choice of (i) transitioning to the rank of Associate Professor, Teaching Stream; or (ii) retaining their status as Continuing Lecturer. Lecturers will be asked to indicate their choice in writing on a schedule to be determined.
5. All Lecturers who are not Continuing Lecturers will transition to the rank of Assistant Professor, Teaching Stream with the following employment status:
 - a. Lecturers with a UARCD appointment and less than 5 years of employment as a faculty member on definite-term contract(s) as of the Implementation Date:
 - i. Lecturers will transition to Assistant Professor, Teaching Stream, Definite-Term.
 - ii. They will have a five-year maximum eligibility for definite-term appointments beginning as of the Implementation Date.
 - iii. Deans retain the discretion to determine, on a case by case basis, whether instead to offer an individual member a contract as probationary Assistant Professor, Teaching Stream without the need to conduct an additional UARCD search.
 - iv. Where a contract letter states that the member will be considered for continuing status, the Dean is obligated to offer a contract as probationary Assistant Professor, Teaching Stream.
 - v. Lecturers may appeal the Dean’s decision with respect to (iv) to a two-person committee jointly appointed by the Vice-President Academic and Provost and the President of FAUW, which will make a final decision on each such case.

- b. Lecturers with five years or more of employment in a UARCed Lecturer appointment as of the Implementation Date:
 - i. Lecturers will transition to Assistant Professor, Teaching Stream, probationary.
 - c. Lecturers with a non-UARCed Lecturer appointment and less than 5 years of employment as a faculty member on definite-term contract(s) as of Implementation Date:
 - i. Lecturers will transition to Assistant Professor, Teaching Stream, Definite Term.
 - ii. They will have a five-year maximum eligibility for definite-term appointments beginning as of the Implementation Date.
 - d. Lecturers with a non-UARCed Lecturer appointment and 5 or more years of employment as a faculty member on definite-term contract(s) as of Implementation Date:
 - i. Lecturers will transition to Assistant, Professor, Teaching Stream, Definite-Term.
 - ii. The five-year maximum on definite-term appointments shall not apply.
6. Definite Term Lecturers shall have the right to maintain their current weighting as of Implementation Date, subject to any relevant provision of the Memorandum of Agreement. In particular, for Lecturers who currently have a scholarship component, this will continue, unless there is mutual agreement with their Chair and Dean to change this arrangement, as specified in 13.5.5.b of the Memorandum of Agreement.
7. Continuing Lecturers, whether they transition or not, shall have the right to maintain their current weightings. In particular, for those who currently have a scholarship component, this will continue, unless there is mutual agreement with their Chair and Dean to change this arrangement, as specified in 13.5.5.b of the Memorandum of Agreement.
8. Where a Lecturer transitions to a new definite-term appointment, the contract shall have the same end-date as their existing contract.
9. Where a Lecturer transitions to a probationary teaching stream appointment, Section 4 (“Timing and Criteria”) of P77 applies: a faculty member may be considered early for permanence based on their employment as a Lecturer at UW. Such early consideration requires the agreement in advance of the candidate and the DTPPC as well as the written agreement of the Dean.

10. All Lecturers/teaching stream faculty are eligible to apply for any advertised probationary teaching stream appointment for which they are qualified regardless of their current contract status.
11. Applications for continuing status which are ongoing in 2023/2024 shall not be impacted by amendments to P76 and P77. For those Lecturers who are successful in promotion to continuing status, paragraph 1 applies.
12. The Parties agree that references to “professorial ranks” or akin language in University policy or procedure predating the Amendments to P76 and P77 is to be interpreted as a reference to Tenure Stream faculty.
13. The University agrees that where a faculty member transitions from one appointment category to another as described in this Memorandum of Understanding, this shall not be considered to be a break in service for the purposes of pension and other employment benefits (“Break in Service”). Similarly, where a faculty member in one appointment category successfully competes for a position in another appointment category, the change in appointment will not be considered to be a Break in Service provided there is no break between the last day of appointment in the first category and the first day of appointment in another category.

C. Earned Course Reduction Transition Provisions

14. In interpreting the below earned course reduction transition provisions, “earned course reduction” and “course reductions credits”, as well as the related procedures, are comprehensively described in P76 (4.B. Course Reductions).
15. Specifically, course reduction credits can be converted to earned course reductions at the rate of 13 course reduction credits for 1 earned course reduction (equivalent to a 0.5 unit).
16. The following earned course reduction transitions apply:
 - i. Definite-Term Lecturers who become probationary Assistant Professors, Teaching Stream after implementation of Policy 76 and 77 will be eligible for 1 earned course reduction while in their probationary position. In each Faculty, definite-term Lecturers becoming probationary Assistant Professors, Teaching Stream will be divided into three equal-sized groups, based on length of employment in their position. The group with the most seniority will receive 1 earned course reduction in their 2nd year as probationary Assistant Professors, Teaching Stream. The next group will receive 1 earned course reduction in their 3rd year as probationary Assistant Professors, Teaching Stream. The group with the least seniority will receive

1 earned course reduction in their 4th year as probationary Assistant Professors, Teaching Stream.

- ii. Continuing Lectures who become permanent Associate Professors, Teaching Stream will be granted “start-up” Course Reduction Credit as follows: (i) those with 8 or more years of employment as a Continuing Lecturer will receive 6 course reduction credits; (ii) those with at least 4 and less than 8 years of employment as a Continuing Lecturer will receive 3 course reduction credits.



To: Senate

From: Co-chairs of the Faculty Relations Committee
Lori Curtis, President, Faculty Association of the University of Waterloo
James W.E. Rush, Vice-President Academic & Provost

Date: 17 October 2022

Subject: **Policy 76 – Faculty Appointments and Policy 77 – Tenure and Promotion of Faculty Members**

BACKGROUND

In accordance with Policy 1 – Initiation and Review of University Policies, the [Faculty Relations Committee](#) (FRC) approved the formation of a Faculty Policy Drafting Committee (the PDC) charged with the task of reviewing, and recommending changes to Policy 76, and assessing Policy 76 for consistency and/or conflict with related policies and procedures, including Policy 77, in September 2014.

Despite the dedication of numerous members of the University community over many years, there remain outstanding issues that must be resolved in order to arrive at a final draft for approval.

In order to achieve this objective the FRC is proposing the formation of a new PDC, again in accordance with Policy 1. The committee will be formed as required by the Policy, and will report regularly to the FRC. The following Policy Drafting Plan (the Plan) will be put into place to assure that reasonable timelines for completion can be met and that communication on progress with the community will be maintained.

The following is an outline of the Plan, as approved by the FRC and as anticipated by Policy 1. The members of the FRC (both members representing senior administration (the Administration) and members representing the Faculty Association of the University of Waterloo (FAUW)) share an interest and desire to bring closure to this process in a way that is best for the University community, including closure of the drafting process proposed in the Plan at the earliest stage possible.

1. STEP 1

The Administration and FAUW agree to exchange policy drafts at FRC to determine what work remains to be completed on the revisions of Policy 76, including revisions to Policy 77, other related policy changes and the drafting of any necessary agreements in the form of a memorandum of understanding to support transitional matters. The exchange of policy drafts will occur by 20 October 2022.

2. STEP 2

A Faculty Policy Drafting Committee (PDC), as contemplated by, and in accordance with, Policy 1 will be convened and the PDC will be co-chaired by representatives from the Administration and FAUW. The PDC will meet approximately once per week over approximately four weeks, recognizing that there may be feasibility issues for members of the PDC in scheduling and in their ability to do effective work between the meetings that may require flexibility, within reason, given the timing of other elements of this process. The PDC will engage in good-faith negotiations and make every reasonable effort to reach an agreement redraft Policies 76 and 77 following the PDC Terms of Reference, as well as other related policy changes and any necessary agreements in the form of a memorandum of understanding regarding transitional matters. The PDC will begin their work no later than 7 November 2022 and may continue their work after their four initial meetings with the mutual consent of the Administration and FAUW. The PDC will report regularly on progress to FRC, and when their work is completed they will present an updated draft of the Policy

to FRC, highlighting any areas where agreement was not reached. If the outstanding matters can be resolved by FRC in one meeting, FRC may recommend a policy draft proceed for governance approval. If this is not possible, the process will move to Step 3.

3. STEP 3

An external mediator (chosen in advance using the process specified in section 10.9 of the Memorandum of Agreement – UW/FAUW (the MOA)) will assist the parties in reaching an agreement at the PDC over up to two additional meetings (decided in advance at FRC, depending on the number and nature of unresolved issues identified by FRC after the PDC work described in Step 2). On the advice of the mediator, the period of mediation may be extended with the agreement of FRC. The Administration and FAUW will report variously on the results of Step 3, and if applicable, will report that the Plan is moving to Step 4. Policy revisions agreed to by members in the PDC and/or with the assistance of the mediator, will be sent to FRC which will forward the completed draft policies for governance approval as specified in Policy 1.

4. STEP 4

With regard to any matters where no agreement has been reached with the assistance of the mediator after the allocated number of meetings, the matter will be sent to interest arbitration through which the arbitrator will work with the parties, within and across the elements of agreement and non-agreement, to ultimately come to a final binding decision that could incorporate compromise between the two overall positions. The mediator and the arbitrator shall be the same person in order to expedite matters.

The cost of the mediator/arbitrator shall be shared equally by the University and FAUW. FRC additionally recognizes that separate from the PDC's responsibilities, changes to the MOA resulting from the new Policy 76 will be addressed by FRC. FRC will have the authority to adjust timelines as necessary.

GOVERNANCE APPROVAL

Should an agreement be reached at FRC after Step 2 or Step 3, above, FRC will jointly recommend the agreed-to changes to Policies 76 and 77 and other related documents to the University President, who will then bring forward the recommendation to Senate and the Board of Governors for decision. Should an arbitration be necessary, FRC will recommend the arbitrated decision on Policies 76 and 77 and other related documents resulting from Step 4, above, to the President who will recommend approval of the arbitrated decision to Senate and the Board of Governors. The arbitration decision shall be made public 30 days prior to its presentation at Senate for the University community's information and awareness.

PROPOSED PDC MEMBERSHIP

FOR APPROVAL

Policy 76/Policy 77 Drafting Committee

Motion 1: To approve the following membership on the Policy 76/Policy 77 Drafting Committee: Mary Hardy (statistics and actuarial science, FAUW appointee); Su-Yin Tan (geography and environmental management, FAUW appointee); Paul Wehr (psychology, FAUW appointee); David DeVidi (associate vice-president, academic, President's appointee); Anna Esselment (political science, President's appointee); and Ian VanderBurgh (mathematics, President's appointee).

Rationale: This committee was introduced by the Faculty Relations Committee (FRC) under Policy 1 – Initiation and Review of University Policies to begin with a new phase of work on the revision of Policy 76 and Policy 77, as detailed in the Policy Drafting Plan submitted to Senate. Normally, Policy 1 requires that class "F" policy development committees be composed of a minimum of three (maximum of six) members, one (or two) appointed by the President of the University, one (or two) members appointed by the President of FAUW and one (or two) members appointed by Senate. FRC seeks Senate's approval of the membership above such that it take the place of the Policy 1 requirement that Senate appoint additional members to the committee. The PDC will be co-chaired by one member appointed by FAUW and one member appointed by the President.

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Senate Graduate & Research Council

For Information

Consent Agenda

Open Session

To:

Senate

Sponsors:

Charmaine Dean
Vice-President, Research & International

Jeff Casello
Associate Vice-President, Graduate Studies and Postdoctoral Affairs

Presenter:

Jeff Casello

Contact Information:

jcasello@uwaterloo.ca

Date of Meeting:

January 29, 2024

Agenda Item Identification:

15. Report – Senate Graduate & Research Council

Summary:

[Senate Graduate & Research Council](#) met on November 20, 2023 and agreed to forward the following items to Senate for information as part of the consent agenda. On behalf of Senate, the following items were approved:

1. Research Ethics

Council approved the membership of one (1) new members of the [Human Research Ethics Board](#).

2. Graduate Awards

Council approved the following [graduate awards](#):

- a. GrandBridge Energy Green Energy Graduate Scholarship (trust)
- b. Statistics & Actuarial Science Graduate Outstanding Performance Award (operating)
- c. Pure Math Doctoral Thesis Completion Award (operating)
- d. Pure Math Graduate Entrance Scholarship (operating)
- e. Electrical & Computer Engineering Master of Engineering Award of Excellence [EMAE] (operating)

3. Academic Program Reviews

Following the review of the report and presentations from the programs, Council approved the following report:

- a. Final Assessment Report: [Environment, Resources, and Sustainability, and Social Ecological Sustainability](#)

There were no issues noted in the report.

4. Curricular Submissions

Council approved new courses, course changes, course inactivations, and minor program revisions for:

- a. [Faculty of Arts](#) (Psychology)
- b. [Faculty of Engineering](#) (Chemical Engineering; Civil and Environmental Engineering; Electrical and Computer Engineering)
- c. [Faculty of Health](#) (Aging Health and Well-Being; Public Health Sciences; Recreation and Leisure Studies; Social Work)

Jurisdictional Information:

As provided for in [Senate Bylaw 2](#), section 4.03, council is empowered to make approvals on behalf of Senate for a variety of operational matters:

- c. Receive, consider, study and review briefs on any aspect of graduate studies and research from members of the university.
- f. On behalf of Senate, consider and approve all new graduate courses, the deletion of graduate courses, and proposed minor changes to existing graduate courses and programs, and provide Senate with a brief summary of council's deliberations in this regard. Any matter of controversy that might arise may be referred to Senate.
- i. On behalf of Senate, consider and approve all new graduate scholarships and awards. Any matter of controversy that might arise may be referred to Senate.

Senate Undergraduate Council

For Information

Consent Agenda

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **16. Report – Senate Undergraduate Council**

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following items to Senate for information as part of the consent agenda. On behalf of Senate, the following items were approved:

1. Curricular Submissions

Council approved new courses, course changes, course inactivations, and minor program revisions for:

- a. [Faculties of Arts and Environment](#) (Sustainability and Financial Management Honours)
- b. [Faculty of Engineering](#) (Architectural Engineering; Biomedical Engineering; Chemical Engineering; Civil Engineering; Conrad School of Entrepreneurship & Business; Electrical & Computer Engineering; Environmental Engineering; Geological Engineering; Management Engineering; Mechanical Engineering; Mechatronics Engineering; Nanotechnology Engineering; School of Architecture; Systems Design Engineering)
- c. [Faculty of Environment](#) (Collaborative Design Specialization; Dean of Environment; Diploma in Environmental Assessment; Environment and Business Honours; Geography & Environmental Management; Knowledge Integration; Knowledge Integration Honours; Planning Honours; School of Environment, Enterprise & Development; School of Environment, Resources & Sustainability; School of Planning; Science, Technology, and Society Specialization; Urban Studies Minor)
- d. [Faculty of Health](#) (Bachelor of Science, Honours Health Sciences; Diploma in Gerontology; Health Informatics Option; Human Nutrition Minor; Kinesiology and Health Sciences; School of Public Health Sciences)

- e. [Faculty of Mathematics](#) (Bachelor of Computer Science Data Science; Bioinformatics Specialization; Business Administration & Computer Science Double Degree; David R. Cheriton School of Computer Science; Dean of Mathematics; Honours Combinatorics and Optimization; Human Computer Interaction Specialization; Software Engineering Specialization)
- f. [Software Engineering](#) (Software Engineering)

Jurisdictional Information:

As provided for in [Senate Bylaw 2](#), section 5.03, council is empowered to make approvals on behalf of Senate for a variety of operational matters:

- c. On behalf of Senate; consider and approve all new undergraduate courses; the deletion of undergraduate courses; and proposed changes to existing undergraduate courses and minor changes to programs and/or plans; and provide Senate with a summary of council's deliberations in this regard. Any matter of controversy that might arise may be referred to Senate.

Senate Undergraduate Council

For Approval

Consent Agenda

Open Session

To:**Senate****Sponsor:**David DeVidi
Associate Vice-President, Academic**Presenter:**

David DeVidi

Contact Information:david.devidi@uwaterloo.ca**Date of Meeting:**

January 29, 2024

Agenda Item Identification:**16a. Report – Senate Undergraduate Council:
Regulation Revisions - Academic Considerations and
Accommodations****Recommendation/Motion:**

To approve the proposed academic regulation revisions for the “University Policies, Guidelines and Academic Regulations, Assignments, Tests, and Final Exams, Accommodations” section of the Undergraduate Studies Academic Calendar, effective for the 2024-2025 Calendar, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(a): “Make recommendations to Senate with respect to rules and regulations for the governance, direction and management of undergraduate studies in the university.”

Governance Path:

Undergraduate Operations (mm/dd/yy): 10/26/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

In early 2019, the Verification of Illness Working Group was formed, with cross-campus representation, to implement recommendations regarding Verification of Illness articulated in the 2018 President's Advisory Committee on Student Mental Health.

In March 2021, a report was presented at the Undergraduate Operations meeting, outlining the work of the Verification of Illness Working Group, and recommending a process by which students could self-declare a short-term illness, without the need for formal documentation.

In the months that followed the Association Deans, Undergraduate, and the Registrar's Office used the learning that was gathered during the pandemic and the process students used to self-declare Covid-19 related illness or a requirement to self-isolate, to develop a pilot process for students to self-declare a short-term illness within Quest. The pilot began during the fall 2022 term.

The pilot will conclude at the end of the spring 2024 term. To move out of the pilot phase for the short-term absences, the Undergraduate Academic Calendar language requires updating. Additional updates to the Undergraduate Academic Calendar text have been proposed to reflect practice and increase clarity.

Documentation Provided:

Appendix A – Proposed Academic Considerations and Accommodations Revisions

Report - SUC: Appendix A – Proposed Academic Considerations and Accommodations Revisions

EXISTING

University Policies, Guidelines and Academic Regulations Assignments, Tests, and Final Exams Accommodations

From time to time, students will encounter extenuating circumstances such as significant illnesses, ongoing medical conditions, or religious observations that prevent them from meeting academic obligations. The University is committed to assisting students who experience these events.

Students who are unable to meet assignment due dates or write a test must provide documentation verifying the events that have precluded them from meeting their academic deadlines. Elective arrangements (such as travel plans) are not considered acceptable grounds for granting an accommodation.

Accommodation Guidelines

When instructors elect to provide an accommodation, the options available to students vary based on the nature of the extenuating circumstances they are facing, and on the kind of evaluation mechanism they are unable to complete on time.

For **in-term assignments**, instructors may use their discretion and allow an extension. If the instructor does not grant an extension and an element is missed, it is recommended that the weight of the missed element – an assignment, a laboratory report, or other evaluation mechanism – be transferred to similar types of elements due later in the term. If this option is not available, the weight of the missed assignment may be transferred to a test or the final examination.

NEW DRAFT

University Policies, Guidelines and Academic Regulations Assignments, Tests, and Final Exams Academic Considerations and Accommodations

Students' ability to complete some component of a course may be affected by short-term extenuating circumstances or long-term or chronic medical conditions (physical or mental). For short-term extenuating circumstances, the term Academic Consideration is applicable and provides students with consistent, fair, and pedagogically appropriate consideration, without compromising the academic integrity of the course or program. Short-term extenuating circumstances might include common illness and ailments such as a cold or flu, minor injuries, compassionate/personal/wellness needs (unrelated to a disability/condition), bereavement, and participation in University of Waterloo sanctioned academic or athletic events that prevent them from meeting academic obligations.

In comparison, the term Academic Accommodations are modifications or adjustments to the way a student receives course curriculum and materials, participates in course activities, or demonstrates knowledge of course content and skills. Reasonable accommodations reduce or eliminate barriers in the academic environment but are not intended to alter the fundamental purpose or essential requirements of the academic program, milestone, or course. The University has a legal duty to accommodate students on a variety of grounds protected from [discrimination](#) including disability (which includes physical and mental health related conditions), creed, family status, and sex (including pregnancy and breast feeding).

If students are granted an accommodation for a **test**, the weighting of the missed test is added to the final examination weighting or spread over the remaining tests. Term tests are normally not deferred.

If a student is granted an accommodation to postpone a **final examination**, the exam is to be written no later than the student's next academic term when the course is offered. The examination may be written earlier if the student and the instructor mutually agree upon a time. The academic delegate from the unit offering the course should be informed of any arrangement for a make-up examination. If the course instructor is not available to set and mark the make-up examination as well as grade the course overall, the academic unit will arrange for these activities to be carried out.

Any unresolved disputes between instructors and students regarding the legitimacy of extenuating circumstances or the suitability of accommodations will be decided by the appropriate associate dean(s). When in doubt, students should approach the associate dean (undergraduate) from their home faculty. In such cases, any regularly scheduled University academic activity will be given precedence in the resolution of a conflict with a test or examination in another course. For students in courses taught at the Affiliated and Federated Institutions of Waterloo where there is no associate dean, the dean exercises these responsibilities.

Accommodations Due to Illness

Whether through Academic Consideration or Academic Accommodation, the University supports and upholds the duty to accommodate, and provides support to students who are experiencing extenuating circumstances.

Elective arrangements (such as travel plans) are not considered acceptable grounds for granting an academic consideration. Students who have long-term or chronic medical conditions (physical or mental) which may impede their ability to complete academic responsibilities are directed to seek academic accommodations through AccessAbility Services.

Academic Considerations

Short-Term Absences

Student may require a short-term absence from their academic responsibilities for any reason. For academic obligations during the Formal Lecture Period, students may self-declare a short-term absence within the student information system (Quest) using the Self-Declaration of Absence Form. Self-declared short-term absences will not be accepted for the course/class components of Clinic (CLN), Laboratory (LAB), and Studio (STU).

Students will be permitted one short-term absence declaration per academic term. For further absence in a single term, the student is required to submit a University of Waterloo Verification of Illness Form (VIF) or register for academic accommodations with AccessAbility Services (depending on the nature of the reasons for the absence).

When illness is the cause of a missed deadline, students should seek medical treatment and provide confirmation of the illness to the instructor(s) within 48 hours by submitting a completed **University of Waterloo Verification of Illness form** to support requests for accommodation due to illness. Students in Centre for Extended Learning (CEL) courses must submit their confirmation of the illness to the CEL.

The University of Waterloo Verification of Illness form is normally the only acceptable medical documentation. Students who consult their physician or use the services of an off-campus walk-in clinic must provide this form to the attending physician for completion; notes and forms created by the physician or clinic are normally not acceptable. Although not compelled to do so, instructors may accept medical documentation that contains the same information specified on the University of Waterloo Verification of Illness form. Health Services charges a fee for completing the University of Waterloo Verification of Illness form that is not covered by OHIP/UHIP. Fees for this service or those levied by off-campus practitioners are the student's responsibility.

False claims of illness and/or the submission of false supporting documentation of extenuating circumstances constitute an academic offence that will result in disciplinary action under **Policy 71**.

Adjustment of due dates or deferrals of term tests or final examinations are not automatic upon the presentation of suitable medical verification. Instructors will use this

A self-declared short-term absence will excuse students from their academic responsibilities for up to 2 consecutive calendar days (e.g. Wednesday, October 23 and Thursday, October 24). It applies to all courses (but not to CLN, LAB, or STU components, as noted above).

Students may choose to participate in some course activities that fall during the short-term absence, and still record an absence for other activity in that period. By participating in an activity, the student is indicating that particular activity shall not be considered as part of the excused absence covered by the short-term declaration.

During the 2-day academic consideration period, the instructor cannot require completion of any academic responsibilities. Students must contact the instructor no later than 24 hours after the missed assessment(s).

Absences Due to Illness

When a student experiences short-term illness and either; a) elects not to use the self-declared short-term absence, or b) is not eligible to use the self-declared short-term absence, they must provide a University of Waterloo Verification of Illness form, following the faculty-specific process for their home faculty.

Students should seek medical treatment and provide confirmation of the illness within 48 hours of the missed academic obligation by submitting a completed University of Waterloo Verification of Illness Form (VIF) to support requests for academic consideration due to illness.

documentation among all information available to them when determining whether accommodation is warranted.

Accommodations Due to Religious Observances

The University acknowledges that, due to the pluralistic nature of the University community, some students may seek accommodations on religious grounds. Accordingly, students must consult with their instructor(s) within two weeks of the announcement of the due date for which accommodation is being sought. Failure to provide a timely request will decrease the likelihood of providing an accommodation.

Accommodations Due to Final Examination Schedule Conflicts

Senate has determined that the University will strive to schedule final examinations conflict free and with:

- No student having two examinations in a row.
- No student writing in the last period on one day and the first period the next day.
-

Where this cannot be accomplished for a particular student, the University shall ensure **exam relief** by making alternative scheduling arrangements for that student. Students can elect to accept examination combinations that violate these constraints. In doing so, they understand that petitions or appeals based on a violation of the above conflicts will not be granted.

A final examination conflict: two final examinations that are scheduled on the same day, at the same time.

The University of Waterloo Verification of Illness Form is normally the only medical documentation accepted to support requests for academic consideration (except for self-declared requests that do not require documentation). Students who consult their physician or nurse practitioner or use the services of an off-campus walk-in clinic must provide this form to the attending physician for completion; notes and forms created by the physician or clinic are normally not acceptable. Medical documentation that contains the same information specified on the University of Waterloo Verification of Illness Form may be accepted, though the University is not compelled to accept it. Health Services charges a fee for competing the University of Waterloo Verification of Illness Form that is not covered by OHIP/UHIP. Fees for this service or those levied by off-campus practitioners are the student's responsibility.

False claims of illness and/or the submission of false supporting documentation of extenuating circumstances constitute an offence that may result in disciplinary action under **Policy 71 (Student Discipline)**.

Academic considerations for absences due to illness are not automatic upon the presentation of acceptable medical documentation. Documentation along with all other information available will be considered when determining whether academic consideration is warranted.

Final Examination Schedule Conflicts

A final examination conflict is when two final examinations are scheduled on the same day, at the same time, or when back-to-back on the same day or last period of one day and the first period of the next day.

If students have an examination conflict with a Wilfrid Laurier University final exam that has been detected during the examination scheduling process, the department/instructor will be notified by the Office of the Registrar and asked to contact the individual students to discuss alternative examination arrangements to be determined by the department/instructor.

If students have an examination conflict that was not detected during the examination scheduling process, they must complete the **Final Examination Timetable Conflict Form**. The Office of the Registrar will confirm the conflict, then notify the department/instructor so that they can contact the individual students to discuss alternative examination arrangements to be determined by the department/instructor.

The University strives to create a conflict-free final examination schedule.

If students have a final examination conflict with a Wilfrid Laurier University final examination that has been detected during the final examination scheduling process, the Office of the Registrar will notify the department/instructor

If students have a final examination conflict that was not detected during the final examination scheduling process, they are required to complete the [Final Examination Timetable Conflict Form](#). The Office of the Registrar will confirm the conflict then notify the department/instructor.

Departments/instructors who have been notified of confirmed final examination conflicts will determine alternative final examination arrangements and contact the impacted students to discuss the alternatives.

The University strives to schedule final examinations with:

- No student scheduled to write two final examinations in a row (i.e., back-to-back periods).
- No student writing in the last period on one day and the first period the next day.

Where this cannot be accomplished for a particular student, the University provides final examination relief by making alternative scheduling arrangements for that student, by shifting one final exam period giving the student an additional hour break. Students

can elect to accept final examination combinations that violate these constraints. In doing so, they understand that petitions or appeals based on a violation of the above conflicts will not be granted.

Guidelines for Providing Academic Considerations

University of Waterloo instructors provide academic considerations when appropriate conditions are met (see the criteria above).

When instructors are asked to consider students' extenuating circumstances, the options available to students vary based on the nature of the extenuating circumstances/events they are facing, on the kind of assessment they are unable to complete on time, and the instructor's own grading practices stated in the course outline.

- **For in-term assessments (assignments, poster symposia, presentations, etc.):** Instructors may use an alternative such as extension or transfer of weight to a subsequent assessment or test/exam.
- **For in-term tests and midterm exams:** The weighting of the missed test is normally added to the final examination or spread over the remaining tests. In-term tests are normally not deferred (unless there are no remaining tests to transfer weight to).
- **For final examinations:** The final examination may be deferred. Normally, it is to be written at a time mutually agreed by the student and instructor that is as soon after the missed examination as possible; in any case it is to be written no later than the student's next academic term in which a) the student has an academic term and, b) the course is offered.

- **For WaterlooWorks arranged co-op interviews:** Employers may follow up with the student, but the University cannot require an employer to reschedule the interview.

Any University academic activity that appears in the Schedule of Classes will be given precedence over alternate arrangements in the resolution of an academic consideration.

Any unresolved disputes between instructors and students regarding the legitimacy of the extenuating circumstances or the suitability of academic considerations will be decided by the appropriate associate dean(s). When in doubt, students should approach the associate dean from their home faculty. For students taught at the Affiliated and Federated Institutions of Waterloo where there is no associate dean, the dean exercises these responsibilities.

Academic Accommodations

Accommodations Due to Disability

The University of Waterloo is committed to upholding the rights of persons with disabilities and creating accessible and inclusive learning environments for all. AccessAbility Services is the University's centralized office for the management of academic accommodations for all students with known or suspected disabilities and disabling conditions (injuries, medical conditions, and impacts of trauma). Students seeking academic accommodations as a result of disability/disabling conditions will register with **AccessAbility Services** to determine eligibility for academic accommodations, and to develop an academic accommodation plan as required. AccessAbility Services will relay

the accommodation plan to instructors, and will work with the instructor and the student to ensure an appropriate accommodation plan is implemented. Disability covers a broad range and degree of conditions that can be permanent, temporary, sporadic, and suspected, including, but not limited to, physical disabilities, learning disabilities, developmental disabilities, mental health disabilities, medical conditions, and the physical, emotional, and psychological effects of a trauma (e.g., sexual violence, discrimination, or oppression).

Refer to the [Student Academic Accommodation Guidelines](#) for more information on eligibility for academic accommodations, the process for registering with AccessAbility Services, and for information on roles and responsibilities in the accommodation process.

Academic Accommodations Due to Creed/Religion

The University acknowledges that, due to the pluralistic nature of the University community, some students may seek academic accommodations on religious grounds.

Students can complete the religious observance self-declaration form in Quest, which will inform their instructors of the potential conflict for certain dates. As the dates of important religious observances are generally known well in advance, students must consult with their instructor(s) within two weeks of the announcement of the due date or scheduled examination date for which academic consideration is being sought. The Self-Declaration Form for short-term absences may also be used by students requiring an absence of 2 days or less during the Formal Lecture Period.

	<p>Academic Accommodations Due to Other Code Grounds</p> <p>Students seeking an academic accommodation related to a protected ground (e.g., family status and sex including pregnancy and breastfeeding) should inform their instructor/academic unit as soon as they become aware of the need.</p>
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Senate Undergraduate Council

For Approval

Consent Agenda

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **16b. Report – Senate Undergraduate Council:
Regulation Revisions – Invalid Credential Combinations**

Recommendation/Motion:

To approve the proposed academic regulation revisions to the Invalid Credential Combinations section of the Undergraduate Studies Academic Calendar for (i) the Diploma of Excellence in Geographic Information Systems, and (ii) the Diploma in Sustainability, and Sustainability and Financial Management, Honours, as presented and effective 1 September 2024.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(a): “Make recommendations to Senate with respect to rules and regulations for the governance, direction and management of undergraduate studies in the university.”

Governance Path:

Environment Faculty Council approval date (mm/dd/yy): 09/14/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

- i. As well, the School of Planning is inactivating their Decision Support and Geographic Information Systems Specialization; therefore, the invalid combination can be removed from the Diploma of Excellence in Geographic Information Systems, allowing Planning students to complete this credential.

- ii. The proposed revision is to make the Diploma in Sustainability an invalid combination with Sustainability and Financial Management, Honours. These two academic credentials have overlapping courses and learning outcomes. Also, due to the structure of the Diploma in Sustainability, it is not possible for students in Sustainability and Financial Management, to complete the out of faculty requirements. Sustainability and Financial Management was consulted and has approved this invalid combination which was presented to Arts as an information item.

Proposed Revisions:

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/Acad-Regs-Invalid-Credential-Combinations>

Proposed calendar text to the 2024-2025 Calendar which was revised by Senate at the March 14, 2023: (underlined and bolded = new, strikethrough = deletion)

Invalid Credential Combinations

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Excellence in Geographic Information Systems, Diploma of	Environment	Decision Support and Geographic Information Systems Specialization (Planning major)
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...

Sustainability, Diploma of	Environment	<u>Sustainability and Financial Management Honours;</u> School of Environment; Resource and Sustainability Honours; Students graduating with a Joint Environment, Resource and Sustainability degree.
Sustainability and Financial Management, Bachelor of	Arts and Environment	Arts and Business; Management Studies Minor; <u>Sustainability, Diploma of;</u> Any stand-alone major

...

Senate Undergraduate Council

For Approval

Consent Agenda

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **16c. Report – Senate Undergraduate Council:
Regulation Revision - Faculty of Environment, Overview of Co-op
Plan Requirements**

Recommendation/Motion:

To approve the proposed academic regulation revisions for the “Overview of Co-op Plan Requirements” of the Faculty of Environment, as presented and effective 1 September 2024.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(a): “Make recommendations to Senate with respect to rules and regulations for the governance, direction and management of undergraduate studies in the university.”

Governance Path:

Environment Undergraduate Studies Committee approval date (mm/dd/yy): 07/19/23

Environment Faculty Council approval date (mm/dd/yy): 09/14/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

Students may not be able to continue in Co-op after 3B term, if missing one Co-op requirement. This would apply if an outstanding PD course cannot be completed on an academic term, or there is no opportunity to revise study/work sequencing.

Proposed Revisions:

Current calendar text: <https://ugradcalendar.uwaterloo.ca/page/ENV-Overview-of-Coop-Plan-Requirements>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Overview of Co-op Plan Requirements

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Notes:

1. Students missing ~~two (or more)~~ **a** co-op requirements by the end of their 3B term will normally be removed from co-op, unless they have successfully been employed for four work terms. These students will remain in co-op but will not be eligible for a co-op degree.
2. Students not meeting their plan's co-op requirements may be considered for transfer to another Faculty of Environment academic regular plan.
3. See the table below for the sequencing of academic and work terms. Transfer students may be required to follow a different sequencing.
4. Further information on co-operative study is stated in the [Co-operative Education and Career Action section](#) of this Calendar.

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Senate Undergraduate Council

For Approval

Consent Agenda

Open Session

To: Senate

Sponsor: David DeVidi
Associate Vice-President, Academic

Presenter: David DeVidi
Contact Information: david.devidi@uwaterloo.ca

Date of Meeting: January 29, 2024

Agenda Item Identification: **16d. Report – Senate Undergraduate Council:
Regulation Revision - Faculty of Environment, Repeat Course Rule**

Recommendation/Motion:

To approve the proposed academic regulation revisions for the Faculty of Environment’s Repeat Course Rule, effective 1 September 2024, as presented.

Summary:

[Senate Undergraduate Council](#) met on November 21, 2023 and agreed to forward the following item to Senate for approval as part of the regular agenda.

Jurisdictional Information:

This item is being submitted to Senate in accordance with [Senate Bylaw 2](#), section 5.03(a): “Make recommendations to Senate with respect to rules and regulations for the governance, direction and management of undergraduate studies in the university.”

Governance Path:

Environment Undergraduate Studies Committee approval date (mm/dd/yy): 07/19/23

Environment Faculty Council approval date (mm/dd/yy): 09/14/23

Senate Undergraduate Council approval date (mm/dd/yy): 11/21/23

Highlights/Rationale:

Combining and clarifying counting and calculation rules and processes for repeating courses.

Proposed Revisions:

Current calendar text: <http://ugradcalendar.uwaterloo.ca/page/ENV-Academic-Standing>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

Academic Standing

...

~~Repeated Courses~~

~~When a course is repeated, both grades will appear on the student's record and will be included in the calculation of the cumulative overall average. If the course is part of the major requirement, both grades will also be included in the cumulative major average.~~

...

Current calendar text: <http://ugradcalendar.uwaterloo.ca/page/ENV-Courses-Enrolment-and-Grades>

Proposed calendar text: (underlined and bolded = new, strikethrough = deletion)

~~Courses, Enrolment, and Grades~~

...

~~Repeating Passed Courses~~

Normally, special permission, beyond course requisites, is not required to repeat a failed course.

Students must submit a [Petition for Exception to Academic Regulations](#) to repeat a course they have already passed and for which they have achieved credit. **If approval to repeat a passed course is granted, only one of the two attempts will count towards an academic credential(s).**

All course attempts will be calculated in plan averages.

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For Information**Open Session**

To: **Senate**

Sponsor: James W.E. Rush, Vice-President, Academic and Provost
Contact Information: provost@uwaterloo.ca

Presenter: James W.E. Rush, Vice-President, Academic and Provost
Contact Information: provost@uwaterloo.ca

Date of Meeting: **January 29, 2024**

Agenda Item Identification: **17. Report from Senate Long Range Planning Committee**

Summary:

Senate Long Range Planning Committee met on 29 November 2023. A summary of the items discussed is provided for the information of Senate.

1. New Interdisciplinary Programs, Networks, and Initiatives Fund

As a continuation to similar updates at the September 2023 meeting, members obtained briefings on certain projects launched under the fund. The fund provides seed funding over three to five years to launch transformative Faculty-led (ideally more than two) interdisciplinary activity that addresses gaps and leverages opportunities in priority areas by working collaboratively with faculty members and other relevant stakeholders across at least two faculties. Deans serve as the responsible lead on each project, and in identifying ideas and scoping funding requirements. A maximum of \$500,000 is provided to approved activity, and all projects are expected to be completed by the end of the funding or have reached a level of self-sustainability.

Members heard detailed updates and planned activities for two approved projects:

- i. Indigenous Initiatives @ Waterloo to Address Truth and Reconciliation – goal of fostering Indigenous student engagement, including through creating welcoming spaces on campus; land-based learning labs and gardens; development of a Type 2 diploma in Indigenous Studies to be launched for Fall 2024, with a transdisciplinary approach and open to all graduate students; strategy for Indigenous advancement includes engaging grant writers with an Indigenous focus toward securing funding for initiatives; Faculty of Health launched the Nish Vibes podcast hosted by Indigenous Knowledge Keeper, Elder Myeengun Henry
- ii. Interdisciplinary Master’s Fellowship in Computation and Data – this program promotes interdisciplinary research in the area of data by promoting and funding co-supervision opportunities of master’s students by a professor with a primary appointment in Mathematics along with another professor from one of the other five Faculties; three years of funding has been secured to provide up to 15 fellowships per year (at \$10K per student per year); parallel activities include recruitment of graduate students and the launch of the Math+X Interfaculty Research Workshop in September 2023

2. Campus Master Planning

The most recent master plan was completed in 2009, as an update to the previous 1992 plan; aim to involve stakeholders as well as the President's Advisory Committee on Design; a student-led project from the School of Planning will bring forward a report to advise on the process for the next iteration of master planning on campus; Waterloo currently has ~300 acres of lands that can be developed or which have infill opportunities, with additional opportunities related to satellite campuses.

The timeline for the campus master plan exercise is 18 months, with completion expected in 2024. The plan will integrate key considerations including: updates to the R&T Park Strategy/land use, campus housing needs, potential opportunities in downtown Kitchener and at satellite campuses, sustainability, accessibility, access to transportation, and Indigenous wayfinding and design.

3. Overview of Integrated Planning

Waterloo is adopting a model of integrated planning to link specific initiatives/activities with strategic directions and frameworks, and to adopt an approach where planning includes clear scoping, timeframes, costs, assessment metrics, and identification of dependencies on other planned tasks or units within the University. The proposed approach is proactive and intends to provide a system to track and advance planned activities in a transparent manner. Next steps include the launch of the Integrated Planning and Budget Office; a development of a new budget model and the interface through which integrated planning would interact with the budget model; and developing a better understanding of issues pertaining to data, which will be a foundational support for integrated planning processes.

4. Overview of Portfolio: Associate Vice-President, Academic Operations

In March 2023, Paul Fieguth was appointed to a five-year term in this new administrative role which aims to foster relationships in alignment with academic priorities and plans, while overseeing connections with the physical infrastructure/capital planning. A core focus of the role is integrated planning, linking planning for physical resources with stakeholder engagement and all within the context of the University's overarching strategic goals. A variety of active projects are underway within this portfolio, including the creation/leadership of an integrated planning and budget office; a new university budget model, a comprehensive examination of data governance; an examination of space planning/renovation processes; and certain projects in collaboration with the Registrar's Office and the Library.

For Discussion

Open Session

To: Senate**Sponsor:** Charmaine B. Dean, Vice President Research and International
Contact Information: vpri@uwaterloo.ca**Presenter:** Charmaine B. Dean, Vice President Research and International
Contact Information: vpri@uwaterloo.ca**Date of Meeting:** January 29, 2024**Agenda Item Identification:** 18. Report - Vice-President, Research & International**Summary:**

Presenting the Vice-President, Research and International Report to Senate for October 2023. This report to Senate highlights successful research, international and entrepreneurial outputs and outcomes for the period mid October - November - December 2023 by the thematic areas as outlined in Waterloo's Strategic Plan 2020-25.

Documentation Provided:

- Vice-President, Research and International January 2024 Report to Senate

**Vice-President, Research & International
Report to Senate
January 2024**

Introduction

This report to Senate highlights successful research and international outputs and outcomes for the period mid-October - November- December 2023 by the thematic areas as outlined in Waterloo's Strategic Plan 2020-25.

Funded Research Awards

Canada Excellence Research Chairs (CERC)

CERC Program Overview:

- The CERC program, initiated in 2008, is a tri-agency initiative aimed at enhancing Canada's global standing in research and innovation by awarding renowned researchers substantial funding to establish research programs at Canadian universities.
- These awards are recognized as highly prestigious internationally and recipients are selected through an independent, multidisciplinary and competitive peer-review process.
- In the current 2022 competition, 34 new Canada Excellence Research Chairs (CERC) at 18 post-secondary institutions nationwide were appointed.
- **University of Waterloo -2 New CERCs starting at the University of Waterloo, 2024, each Chair ship lasts 8 years:**

Sara A. Hart

New CERC in Development Science, Department of Psychology, University of Waterloo \$4,000,000

Hart is a renowned expert in developmental psychology. Her research employs precision education to investigate learning challenges in children, using interdisciplinary approaches and advanced statistical methods.

In her role as the CERC in Developmental Science, Hart will integrate genomics into educational settings to understand the interplay between genes and environments in fostering reading and mathematical competence. Hart's focus on precision education aligns with contemporary approaches to tailor education to individual student characteristics - particularly beneficial for studying learning disabilities and informing educational practices.

Renée J. Miller

New CERC in Data Intelligence, Cheriton School of Computer Science, University of Waterloo \$8,000,000

Currently a University Distinguished Professor at Northeastern University, Miller is renowned for her novel work in data systems, specifically in data integration. As the CERC in Data Intelligence, Miller will lead research to enhance the trustworthy use of big data for data science and artificial intelligence. Her work will address challenges in data science, focusing on correct, explainable and reproducible data preparation and curation methods. She aims to develop frameworks to document, share and reproduce complex data processes, contributing to valid and unbiased insights from data while promoting equity, diversity and inclusion in data science training.

Interdisciplinary and Health

Jennifer Boger (Adjunct Assistant Professor, Systems Design Engineering)

CIHR/ EU Joint Programme in Neurodegenerative Disease Team Grant: Call for Expert Working Groups, \$78,000, "Dementia International expert Group on Interactive Technology (DIGIT)".

An expert group consisting of computer scientists, human-computer interaction researchers, design researchers, ethics experts, and engineers aims to contribute to the trans-national and transdisciplinary research around innovative technologies for people living with dementia. By working with care professionals, people with dementia, and diverse researchers cross-nationally, this study will contribute with best practice guidelines for participatory practice on bringing innovative technologies into the care domain. It will identify cross-cultural factors and take a participatory design approach for working with participants with Alzheimer's disease and dementia broadly.

Laura E. Middleton (Kinesiology and Health Sciences, University of Waterloo), **William A. Heibein** (University of Waterloo), **Saskia N. Sivananthan** (Affiliate Professor, McGill University), **Carrie A. McAiney** (School of Public Health Sciences, University of Waterloo)

Weston Family Foundation/CIHR Operating Grant: Brain Health and Reduction of Risk for Age-related Cognitive Impairment: Knowledge Synthesis and Mobilization, \$100,000, "Beyond dementia prevention: Understanding Impact and Knowledge Gaps related to Lifestyle Interventions for People with Dementia."

This project will identify and summarize research related to the effectiveness of healthy lifestyle interventions for people with dementia. It will focus on the outcomes that people with dementia and their families have said are most important: functional independence and quality of life. The results of this project will be the basis for lifestyle recommendations for people with dementia and their families, dementia service organizations, and policy makers.

NSERC Alliance

- NSERC Alliance grants provide funds to Canadian university researchers working in partnership with international collaborators from the academic sector.
- **2 University of Waterloo NSERC Alliance grants in this November - December, 2023:**

John-Pierre Hickey (Department of Mechanical and Mechatronics Engineering).

Catalyst Grant- "Clustering dynamics of particles on our turbulent waterways"- \$25,000.

Kevin Musselman (Department of Mechanical and Mechatronics Engineering).

Collaboration Grant- "NSERC-DFG SUSTAIN: Integrated development of sustainable solvent strategies for perovskite solar cells"- \$300,000.

Awards and Distinctions

Amir-Hossein Karimi (Electrical and Computer Engineering)

Silver Medal of ETH (Eidgenössische Technische Hochschule) Zurich

Outstanding doctoral theses are honoured with the Silver Medal of ETH Zurich and a financial sum.

Anita Layton (Applied Math)

Education Foundation Award of Merit, Federation of Chinese Canadian Professionals.

The Award of Merit, which was established in 1985, is given once annually to “distinguished Chinese Canadians with outstanding professional achievements.”

David Hammond (School of Public Health Sciences)

2023 Trailblazer Award in Science for Policy - Canadian Science Policy Centre.

CSPC is a non-profit organization with a diverse science and innovation policy community who contribute to the well-being of Canadians through inclusive and effective science policy. The Trailblazer Award recognizes individuals who spearhead positive and significant change in Canadian science, technology and innovation.

IEEE Fellows IEEE Fellow is a distinction reserved for select IEEE members whose extraordinary accomplishments in any of the IEEE fields of interest are deemed fitting of this prestigious grade elevation.

- Alfred Yu (Electrical and Computer Engineering), 2024 IEEE Fellow
- John Yeow (Systems Design Engineering), 2024 IEEE Fellow

Ellsworth Ledrew (Distinguished University Professor Emeritus, Geography and Environmental Management)

Massey Medal, Royal Canadian Geographic Society.

The Massey Medal was established to honour those who have contributed to the exploration, development, or description of Canada’s geography.

Joanne Atlee (Cheriton School of Computer Science)

Most Powerful Women: Top 100 Award Winners – STEM.

These are women who personify what it means to be powerful through the way they empower and champion others, influence change and stand up for all. As Top 100 winners, these individuals stand among more than 1,500 powerful leaders across Canada who share that honour.

Solomon Tesfamariam (Civil and Environmental Engineering)

Leading Innovator - Coalition of Innovation Leaders Against Racism (CILAR).

This award recognizes Black, Indigenous and People of Colour who positively impact their communities, the world and future generations through the innovation ecosystem.

Stephen Evans (Earth and Environmental Sciences)

2023 Schuster Medal, Association of Environmental and Engineering Geologists (USA) and the Canadian Geotechnical Society.

The Schuster Medal is awarded to an individual who displays excellence and innovation in geohazards research while making significant contributions to public education regarding geohazards.

Web of Science Highly Cited Researchers 2023

- Highly Cited Researchers™ are influential researchers at universities, research institutes and commercial organizations around the world who have demonstrated significant and broad influence in their field(s) of research.
- The evaluation and selection process draws on data from the Web of Science™ citation index, together with analysis performed by bibliometric experts and data scientists at the ISI at Clarivate™.
- Of the world's population of scientists and social scientists, Highly Cited Researchers™ are 1 in 1,000.

Name	Title	Department	Second Title/ Research Focus
Dr. Zhongwei Chen	Professor	Chemical Engineering	Research in advanced materials for clean energy.
Dr. Geoffrey T. Fong	Professor	Psychology	Research in international tobacco control policies.
Dr. Michael Fowler	Professor	Chemical Engineering	Research in the electrochemical power sources in vehicles.
Dr. Sharon I. Kirkpatrick	Associate Professor	School of Public Health Sciences	Research in the intersections between nutrition, human and planetary health, equity, and policy.
Dr. Juewen Liu	Professor	Chemistry	Research in the fundamental principles of chemistry, physics and biology to produce nanoscale materials, devices and systems.
Dr. Linda F. Nazar	Professor	Chemistry	Research in the development of electrochemical energy storage devices and materials.
Dr. Will Percival	Professor	Physics and Astronomy	Research in properties of the Universe on the largest scales.
Dr. Daniel Scott	Professor	Geography and Environmental Management	Research in the transition to a low carbon tourism economy and adaptation to the complex impacts of a changing climate.
Dr. Xuemin (Sherman) Shen	Professor	Electrical and Computer Engineering	Research in network resource management, wireless network security, Internet of Things, AI for networks and vehicular networks.
Dr. Aiping Yu	Professor	Chemical Engineering	Research in materials development for energy storage and conversion, photocatalysts, and nano composites.
Quanquan Pang	Waterloo alumnus	Chemical Engineering	Research in the fundamental understanding of electrochemical behavior of rechargeable batteries.
Gaoran Li	Former Waterloo Post-Doctoral student	Chemical Engineering	Research in advanced materials and energy storage.

Waterloo Ventures

Five (5) start-ups with Waterloo alumnus founders and/or co-founders, and launched through Velocity, made the 2023 Forbes 30 Under 30 List.

Category: Healthcare

MedMe Health

Rui Su, co-founder of MedMe (BSc-PharmD, 2018) Health, transforms pharmacies into community health hubs through its software, facilitating the management of clinical services such as vaccinations and chronic disease care. The company has served over more than 25 million patients in 4,000 pharmacies in Canada.

Category: Consumer technology

Tempo Labs

Toronto-based Tempo Labs, established in May 2023 by co-founders Peter Gokhshteyn (BSc- 2018) and Kevin Michael (BSc- 2018), simplifies web app development using AI tools for code generation and layout design through text-based prompts. The startup secured \$1.2 million in funding from Y Combinator and General Catalyst.

Category: Science

Coastal Carbon

Co-founded by Kelly Zheng (BSc-2019, PhD-in progress) and Thomas Storwick (BSc- 2019 and MSc- in progress) out of Velocity, utilizes AI models to assess seaweed growth in specific regions through satellite images, empowering seaweed farmers to claim carbon credits. The company anticipates \$2 million in revenue this year.

Category: Social impact

Nfinite Nanotech

Co-founder, Chee Hau Teoh (MSc- 2020) develops nanocoatings that redefine barrier performance, enabling the production of compostable and recyclable packaging at a commercial scale by collaborating with consumer-packaged goods companies like PepsiCo. Teoh envisions broader applications for Nfinite nanotech's technology, including batteries, solar cells and semiconductors.

Category: Enterprise Technology

LlamaIndex

Simon Suo (BSc-2018) co-founded LlamaIndex after stints at Facebook and Uber. An open-source data framework, LlamaIndex streamlines the creation of large language model-based apps. The framework has more than 600,000 monthly downloads, leading to an \$8.5 million seed round investment this year.

International Outreach Trips

Japan and South Korea - October 2023 - The Associate Vice President International (AVPI) made an international education and research partnership development trip that included stops at: Tohoku University, the National Institute for Informatics, Tokyo University, Tokyo Institute of Technology, the Ministry of Education, Culture, Sports, Science and Technology, and the Japan Science & Technology Agency. The stop in South Korea was at the Korea Advanced Institute of Science and Technology.

South Africa, Kenya and Ghana, December 2023 - A Presidential trip, which included the AVPI included stops at: the University of Western Cape, mRNA Vaccine Hub for Africa, University of Cape Town, Stellenbosch University, University of Pretoria, the Department of Science and Innovation, National Research Foundation, the Science Forum (all South Africa). In Kenya, the team visited Aga Khan University, The International Development Research Centre, Kenyatta University, Strathmore University and the University of Nairobi. Stops in Ghana included; Ashesi University, African Institute for Mathematical Sciences & Ministry of Education, University of Ghana, International Development Research Center, and the Ministry of Environment, Science, Technology, & Innovation. Throughout this trip there was a high priority upon research and how graduate students can be effective agents of international collaboration in higher education.

International Delegations Hosted

University of Twente, The Netherlands - October, 2023 - The Centre for Bioengineering and Biotechnology (CBB) and the Health Initiatives Office at the University of Waterloo co-hosted a delegation from the University of Twente as part of the University of Waterloo led symposium "Perspectives on the intertwinement between human and planetary health." The symposium highlighted and emphasized the strategic value of the Waterloo-Twente partnership (formalized in July 2022) and ways to facilitate connections and collaborations. The symposium also featured research talks from both universities in the areas of Planetary Health, AI for Health, Mental Health.

University of Strathclyde, Scotland- November, 2023 - The delegation, led by Vice-Chancellor and Principal, Sir Jim McDonald, consisted of Deans from three of Strathclyde's Faculties, as well as leadership from internationalization, commercialization, and secretariat parts of the University of Waterloo. The purpose of the trip was to discuss higher education collaboration work as it relates to impact.

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Office of the Vice-President, Academic and Provost

For Information

Open Session

To: Senate

Sponsor: James W.E. Rush, Vice-President, Academic and Provost
Contact Information: provost@uwaterloo.ca

Presenter: James W.E. Rush, Vice-President, Academic and Provost
Contact Information: provost@uwaterloo.ca

Date of Meeting: November 27, 2023

Agenda Item Identification: 19. Report of the Provost – Faculty Appointments, Leaves

Summary:

The Faculty Reports for Senators' information regarding the variety of appointments, reappointments, special appointments, leaves, and other matters of interest about individuals in the Faculties are available at the [Senate agenda page](#)¹.

¹ <https://uwaterloo.ca/secretariat/sites/default/files/uploads/documents/january-faculties-all-2.pdf>

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