A Look at McMaster's Policies

How and Why they are created, reviewed and updated

Financial Forum
November 2017

BRIGHTER WORLD | mcmaster.ca

McMaster University

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A Look at McMaster's Policies
Presentation Overview

- Policy Overviews

  o University Policies vs Department and Faculty Policies vs Procedures

  o Anatomy of a Policy

    o What headers and structure can tell us

    o Related policies and procedures

  o Policy simplification

- Strategic Procurement's Policy Review

  o Why and How

    o AODA, Sustainability, etc.

  o On the Radar

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University Policy vs Faculty or Department Policy
University Policies

- "University Policies" are those which are approved by the Board of Governors and/or the Senate

- http://www.mcmaster.ca/policy/#

  - Often mirrored or linked from other University websites

- May include:

  - Legislation (e.g., McMaster University Act),

  - By-laws, Board, Senate, Faculties

    - Execution of Instruments

  - Other governing documents (e.g., Campus Plan)

  - In addition to policy documents

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University Policy vs Faculty or Department Policy
Policy Collections

- http://www.mcmaster.ca/vpadmin/policies.html
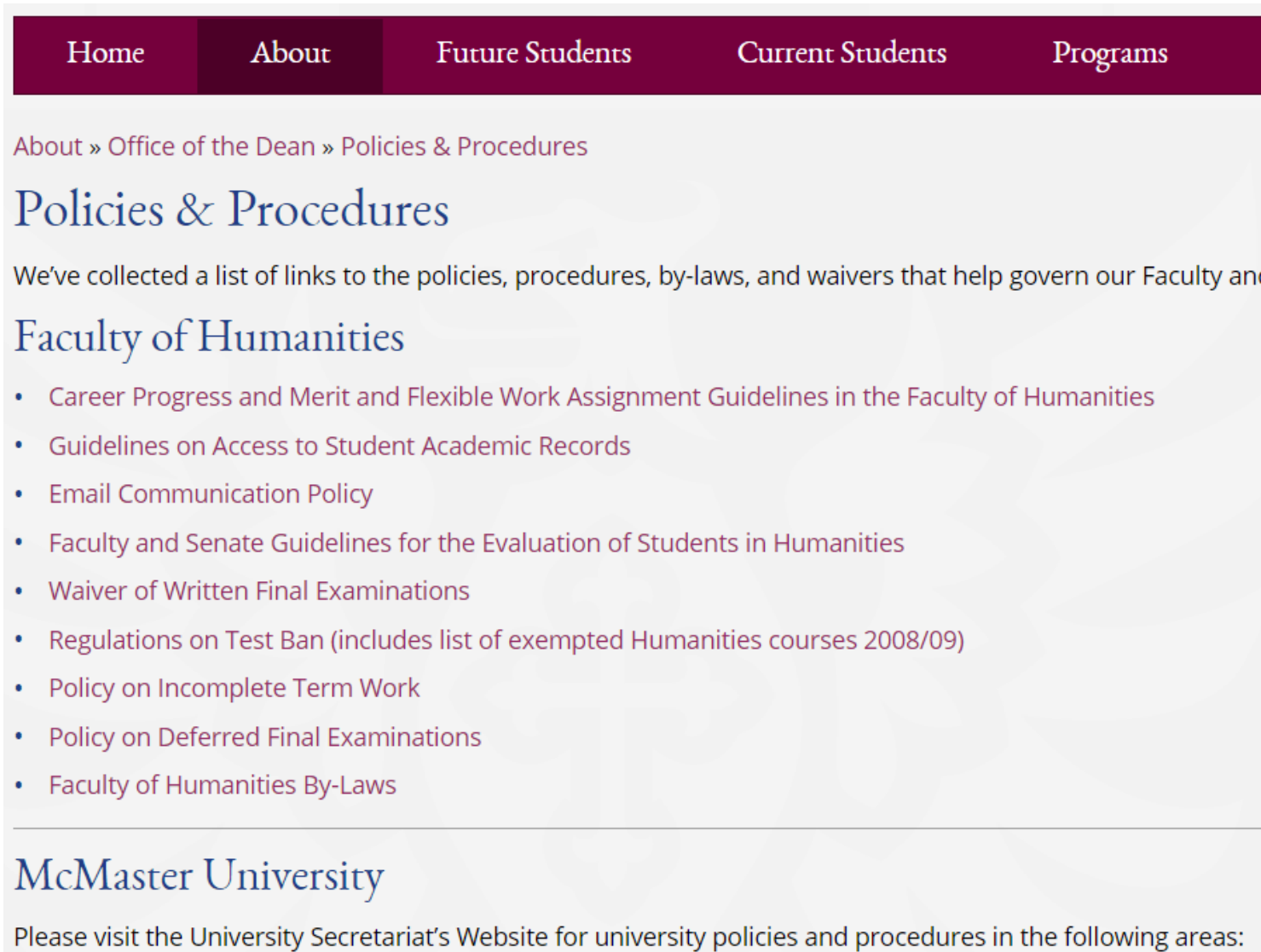
- http://www.mcmaster.ca/vpacademic/reports.html

- Faculty Websites e.g., Humanities *

- Sometimes called "Resources", "Forms & Guidelines", or similar

http://www.mcmaster.ca/bms/BMS_Policies_Procedures.htm

Includes both "University Policies" as well as those which have been approved by PVP, or the Vice-President (Administration), the AVP Administration, or the Directors

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University Policy vs Faculty or Department Policy
Faculty Website

| Home | About | Future Students | Current Students | Programs |

About » Office of the Dean » Policies & Procedures

Policies & Procedures

We've collected a list of links to the policies, procedures, by-laws, and waivers that help govern our Faculty and

Faculty of Humanities

- Career Progress and Merit and Flexible Work Assignment Guidelines in the Faculty of Humanities
- Guidelines on Access to Student Academic Records
- Email Communication Policy
- Faculty and Senate Guidelines for the Evaluation of Students in Humanities
- Waiver of Written Final Examinations
- Regulations on Test Ban (includes list of exempted Humanities courses 2008/09)
- Policy on Incomplete Term Work
- Policy on Deferred Final Examinations
- Faculty of Humanities By-Laws

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Please visit the University Secretariat's Website for university policies and procedures in the following areas:

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Anatomy of a Policy
The Header (University policy from Admin Department)

McMaster University — Policies, Procedures and Guidelines

Complete Policy Title: **Fraud Policy**	Policy Number (if applicable):
Approved by: **Audit Committee of the Board of Governors**	Date of Most Recent Approval: **May 1, 2014**
Date of Original Approval(s): **May 27, 1997**	Supersedes/Amends Policy dated: **March 13, 2012, October 26, 2006, November 15, 2003, May 27, 1997,**
Responsible Executive: **Chief Internal Auditor**	Enquiries: **Internal Audit**

DISCLAIMER: *If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

1. Purpose

McMaster University ("the University") is committed to the highest standards of honesty, propriety, and integrity. It is University policy to investigate objectively any alleged dishonest or fraudulent activities related to funds or property owned by, or in the care of, the University. This policy aims to raise the awareness of these activities and their prevention and to give guidance to their reporting and the manner in which the investigation of that reporting will proceed.

Anatomy of a Policy
The Header (Admin Policy)

McMaster University   **Administration Policy**

Complete Policy Title: **Engagement of Independent Contractors**	Policy Number:
Approved by: **Vice-President (Administration)**	Date of Most Recent Approval: **November 8, 2013**
Date of Original Approval:	Supersedes/Amends Policy dated: **Payments to Individuals (Independent Contractors) versus Employees [most recent approval: October 18, 2008]**
Responsible Executive: **Vice-President (Administration)**	Enquiries: **Financial Affairs, Human Resources, or Legal Services**
DISCLAIMER: *If there is a discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails.*	

Introduction

Different legislative and contractual obligations arise when the University engages an independent contractor to provide services as compared to an employee. Of note, the tax treatment of payments to independent contractors versus employees varies pursuant to the Income Tax Act. Accurate

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Anatomy of a Policy
Header of a Procedure (companion document)

University   Administration Procedure

Complete Procedure Title:	Procedure Number:
Procedures related to Tracking, Loss, Damage and Disposition of University Assets	
Approved by: **Assistant Vice President Administration and CFO**	Date of Most Recent Approval: **June 2015**
Date of Original Approval:	Supersedes/Amends Procedure dated: **Insurance and Protection of Moveable Assets- June 2009** **Asset Capitalization Guidelines- May 2007** **Disposal of University Surplus Assets-P160- October 1996**
Responsible Executive: **Assistant Vice President Administration and CFO**	Enquiries: Environmental and Occupational Health Support Services (EOHSS) at eohss@mcmaster.ca. finserv@mcmaster.ca customs@mcmaster.ca
DISCLAIMER:	*If there is a discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails.*

Purpose

This document provides detail associated with the policy on Capital Assets. (http://www.mcmaster.ca/bms/pdf/capassets.pdf). These procedures detail the requirements for numbering and marking university owned assets, the conditions and limits for

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Policy Simplification
Renew and update

2012 - 156 Admin policies
Financial Affairs - 116
Internal Audit - 3
Human Resources - 30
UTS - 4
Facility Services - 3

2017 - 77 Admin policies
Financial Affairs - 40
Internal Audit - 3
Human Resources - 27
UTS - 2
Facility Services - 5

Major changes to: AP01, EOI, Fraud, Legal Services, President's Awards, Tuition Assistance, Customs&Traffic(various); Honorariums (withdrawn); Asset Disposal; Bookstore charges; Cash Control; Fair Trade Purchasing; Accommodations for Employees; Strategic procurement (various);

New this month:
http://www.mcmaster.ca/bms/pdf/JournalEntryPolicy.pdf

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Review your Procedures

- Please review your procedures and requirements

- Please don't add back requirements that have been taken out of University and Administration Policies.

- Please feel free to ask why

- Please feel free to make suggestions to simplify policies

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Importance for Policies to be reviewed periodically

- For current day relevance
- Changes in legislation (e.g. BPSAA)
- Request from departments/individual (e.g. Gifts and Gratuities)
- Good practice of adding simplification
  - Without compromising control
- Mosaic
  - Increased compliance/built in approval level

How to review policies?

- Annual review of policies and procedures
  - Higher risk areas need more frequent review (e.g. Disposal of University Surplus Assets)
  - Review doesn't always mean change
  - Just means validate for current feasibility
- Analysis of the appropriateness of policies
  - (e.g. AODA/Sustainability Policy-now part of our RFx documents)

Did you know?

- Prior to 2012, Purchasing Resources governed 25 policies
- Currently, operational under 1 main policy (SP-01)
- SP supports 8 other policies

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- To Delete or Not Delete-That's the Question:

- *Examples of SP Policies that were removed*:

    - P-030 "Establishing New Policies & Procedures"

    - P-040 "Changing Existing Policy & Procedures"

    - P-300 "Purchase Order Expediting"

        - Mosaic provides compliance & processing efficiency

    - P-330 "Systems Contracts"

        - Mosaic facilitates more efficiency in processing POs

- On the radar…

- Examples of possible upcoming changes to Policies:

    - CETA/CFTA (new Trade Agreements)

        - Contract awards/bid process

    - Bill 148

        - $15 Minimum Wage/ICQ form

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Today's Policy Webpages

- http://www.mcmaster.ca/policy/#

- http://www.mcmaster.ca/vpadmin/policies.html

- http://www.mcmaster.ca/bms/BMS_Policies_Procedures.htm

Please LINK, don't Mirror

Know: Execution of Instruments

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