

ACADEMIC COUNCIL – Special Meeting

Tuesday, June 2, 2020

2:30 - 3:30 p.m., [Videoconference only](#)

+1.888.240.2560 (US Toll Free) Meeting ID: 585 539 585

AGENDA	Suggested Start Time
1. Call to Order	2:30 p.m.
2. Agenda (M)	
3. Chair's Remarks	2:35 p.m.
4. Graduate Studies Committee (GSC) (Langis Roy) (a) Graduate Calendar to Policy Migration Project* (M) <ul style="list-style-type: none"> i. Graduate Admission and Application Requirements ii. Graduate Categories and Decisions Policy iii. Graduate Program Changes and Transfers Policy iv. Graduate EDI and Non-Standard Admission Policy 	2:40 p.m.
5. Policy Consultation: (a) Code of Ethics* (C) (Cheryl Foy & Niall O'Halloran)	2:55 p.m.
6. Other Business	3:25 p.m.
7. Termination (M)	3:30 p.m.

Becky Dinwoodie, Secretary

ACADEMIC COUNCIL REPORT

ACTION REQUESTED:

Decision
Recommendation
Discussion/Direction
Information

DATE: May 26, 2020

FROM: Graduate Studies Committee

SUBJECT: Graduate Academic Calendar Migration project

GRADUATE STUDIES COMMITTEE MANDATE:

- Under the Policy Framework, Academic Council is the designated approval authority for academic policies and procedures
- The Graduate Studies Committee (GSC) is seeking Academic Council's approval of the below policy instruments

MOTION FOR CONSIDERATION:

That, pursuant to the recommendation of GSC, Academic Council hereby approve the following policy documents, as presented.

- Graduate Admission and Application Requirements Policy*
- Graduate Admission Categories and Decisions Policy*
- Graduate Program Changes and Transfers Policy*
- Graduate Equity, Diversity, and Inclusion and Non-Standard Admission Policy*

BACKGROUND/CONTEXT/RATIONALE:

Further to the GSC Committee Report, May 28, 2019 detailing the Graduate Academic Calendar migration to the Policy Library, several academic policies and procedures have been migrated from the Academic Calendar to the Policy Library over the course of the last year, and approved via the GSC and Academic Council.

GSC is bringing forward the following academic policies for approval by Academic Council:

- Graduate Admission and Application Requirements Policy
- Graduate Admission Categories and Decisions Policy
- Graduate Program Changes and Transfers Policy
- Graduate Equity, Diversity, and Inclusion and Non-Standard Admission Policy

According to the Policy Framework, the Policy Library is the central repository for Policy Instruments. Remaining policies and procedures will come forward as they are reviewed.

CONSULTATION:

In conjunction with the Policy Office, the following approval path was determined for the new policy documents:

- Deliberative Body: GSC April 2020 for recommendation
- Approval Authority: Academic Council May 2020

NEXT STEPS:

- Pending the approval of these items by Academic Council, the new Policy Instruments will be migrated from the Graduate Academic Calendar to the Policy Library and the Graduate Academic Calendar text updated as presented, effective Fall 2020

SUPPORTING REFERENCE MATERIALS:

- **Graduate Admission and Application Requirements Policy**
 - Draft Graduate Admission and Application Requirements Policy
 - Graduate Admission and Application Requirements Policy - Policy Summary
 - Graduate Admissions - Calendar Copy
- **Graduate Admission Categories and Decisions Policy**
 - Draft Graduate Admission Categories and Decisions Policy
 - Graduate Admission Categories and Decisions Policy - Policy Summary
 - Refer to Graduate Admissions - Calendar Copy
- **Graduate Program Changes and Transfers Policy**
 - Draft Graduate Program Changes and Transfers Policy
 - Graduate Program Changes and Transfers Policy – Policy Summary
 - Refer to Graduate Admissions - Calendar Copy
- **Graduate Equity, Diversity, and Inclusion and Non-Standard Admission Policy**
 - Draft Graduate Equity, Diversity, and Inclusion and Non-Standard Admission Policy
 - Graduate Equity, Diversity, and Inclusion and Non-Standard Admission Policy – Policy Summary
 - Refer to Graduate Admissions - Calendar Copy



Classification Number	
Framework Category	Academic
Approving Authority	Academic Council
Policy Owner	Dean of Graduate and Postdoctoral Studies
Approval Date	
Review Date	
Supersedes	Academic Regulations, Graduate Academic Calendar 2019-2020

GRADUATE ADMISSION AND APPLICATION REQUIREMENTS POLICY

PURPOSE

1. The purpose of this Policy is to define the University's graduate-level admission and application requirements, including English language proficiency and Transfer Credit.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

"Academic Standing" means a student's official status of enrolment at the University as evaluated at the end of each Semester; used to assess whether students are meeting the standards prescribed for continuing in the University and/or their Programs.

"Course" means a unit of work in a particular subject normally extending through one Semester or session, the completion of which carries credit toward the requirements of a degree or diploma.

"Grade Point Average (GPA)" means the weighted average of the grade points awarded on the basis of academic performance during a single Semester.

"Graduate Program Director" means academic administrators with a graduate faculty appointment within an academic unit and help to ensure the success of the Program and its students.

"Prerequisite" means a Course that must be successfully completed prior to commencing a second Course for which it is required.

"Program" means a complete set and sequence of Courses, combination of Courses, and/or other units of study, research and practice, the successful completion of which qualifies the candidate for a formal credential (degree with or without major; diploma), provided all other academic and financial requirements are met.

"Semester" means sixty days of lectures and a final examination period.

"Time-Status" means the declared registration status of a graduate student. Graduate students can be registered full-time or part-time.

"Transcript" means the complete report of a student's academic record.

“Transfer Credit” means the academic credit granted for work completed at an institution other than Ontario Tech University.

SCOPE AND AUTHORITY

3. This Policy applies to graduate-level admission and application requirements as outlined below. Types of Admission and decisions, Program changes and transfers and graduate-level equity, diversity and inclusion and non-standard admission are governed under separate policies. [insert links]
4. This Policy does not apply to undergraduate-level admissions, application requirements or related matters. For more information regarding undergraduate-level admission-related policies and procedures please refer to the University’s policy library.
5. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

6. Application for Admission

- 6.1. Applications for admission to graduate studies programs are submitted online.
- 6.2. Application deadlines are determined by the School of Graduate and Postdoctoral Studies. Applications submitted after published deadlines may be considered on an individual basis.
- 6.3. **Assessment of Eligibility**
 - a) Stated grade requirements are normal minimum requirements.
 - b) The actual cut-off levels for admission cannot be determined until applications are received.
 - c) Preference is given to students presenting the strongest admission averages.
 - d) Students whose grades have been affected by exceptional circumstances that can be documented are encouraged to write to the School of Graduate and Postdoctoral Studies with appropriate information.
 - e) Applicants seeking information on the applicability of their educational backgrounds may seek informal guidance from the School of Graduate and Postdoctoral Studies, if their circumstances are straightforward.
 - f) Applicants wanting a formal assessment of their credentials prior to application should contact a credential evaluation service.
 - g) Official determination of admissibility and transfer of credit cannot be made until the point of application.
 - h) Regardless of educational background, all applicants to graduate Programs must have specific **Prerequisite-required** subject knowledge for their intended Program of study.

- i) The **Prerequisite-required** subjects for each Program and other program-specific requirements are listed in the faculty sections of the Graduate Academic Calendar and on the Graduate Studies website.
- j) Normally, Courses taken more than eight years prior to application will not be accepted.
- k) Individuals that do not meet the minimum admission requirements, may apply as non-standard applicants. They may also be required to upgrade Prerequisite Courses for their intended Program of study. See non-standard applicants for more information.

6.4. Honesty in Applications

- a) Students must declare fully their educational history when applying to the University.
- b) The School of Graduate and Postdoctoral Studies requires full disclosure of all marks achieved in all attempts at post-secondary Courses.
- c) Students must also advise the School of Graduate and Postdoctoral Studies should they attend another post-secondary institution while registered as a student at the University.
- d) Failure to declare previous or concurrent post-secondary education, or the falsification of any documents related to such academic pursuits, may result in suspension or expulsion from the University, including possible revocation of degrees awarded.

7. Admission Requirements

7.1. Academic Requirements

- a) The academic requirements are established by the School of Graduate and Postdoctoral Studies and are the minimum required for entry into a graduate Program.
- b) **Minimum Academic Requirements for Master's Programs:**
 - Hold a four-year honours degree or equivalent from a recognized institution in the area of graduate study or a closely related subject.
 - Overall Academic Standing of at least a B average (GPA: 3.0 on a 4.3 scale), with a minimum B average in the last two full-time years (four Semesters) of undergraduate work or equivalent.
- c) **Minimum Academic Requirements for Doctoral Programs:**
 - Completion of a research project or thesis-based master's level degree from a recognized institution in the same area of graduate study or a closely related subject.
 - A minimum B+ average (GPA: 3.3 on a 4.3 scale).

- d) Minimum Academic Requirements for Graduate Diploma Programs:**
- Hold a four-year honours degree or its equivalent from a recognized institution in the area of graduate study or a closely related subject.
 - A minimum B-minus average (GPA: 2.7 on a 4.3 scale).
- e)** Some Programs may have additional requirements, which could include higher GPA requirements than those required by the School of Graduate and Postdoctoral Studies. Program-specific requirements will be listed in the Graduate Academic Calendar.
- f)** Satisfaction of minimum entry conditions does not ensure admission.

7.2. Supporting Document Requirements

- a)** Applicants must submit the following supporting documentation to the School of Graduate and Postdoctoral Studies to complete an application for admission:
- A minimum of two letters of recommendation must be completed by individuals having direct knowledge of the applicant's academic and/or relevant professional competence. Some Programs may have additional requirements.
 - Proof of English proficiency if the first language is not English. See the policy on English language proficiency.
 - One official or certified copy (certified by the institution) of each previous undergraduate and graduate Transcript.
 - A one- to two-page statement of academic intent outlining the applicant's objectives in undertaking graduate study.
 - A photocopy of the applicant's degree parchment(s).
 - Any required Program-specific documentation.
- b)** Some Programs may have additional requirements than those listed. Applicants should refer to the Graduate Academic Calendar for Program-specific requirements.
- c)** Applicants may also be asked to submit a brief description of the Courses listed on the official Transcripts or provide a copy of the relevant calendar in which they are listed.

8. English Language Proficiency

- 8.1.** All applicants are required to give evidence of their oral and written proficiency in English. This policy outlines the standard ways that applicants must use to satisfy the English language proficiency requirement.

- 8.2.** If an individual Program requires higher levels of proficiency or a difference in what is needed to demonstrate English language proficiency, this is listed in the individual Program requirements in the Graduate Academic Calendar.
- 8.3.** English language proficiency requirements may be higher for employment, including teaching assistant duties.
- 8.4.** The English language proficiency requirement may be satisfied with one of the following:
- a)** The applicant's mother tongue or first language is English;
 - b)** The applicant has studied full-time for at least three years (or equivalent in part-time studies) in a university degree Program where the language of instruction and examination was English; or,
 - c)** The applicant has completed a university degree Program where the language of instruction and examination was English.
 - Applicants will be asked to provide official verification from the university confirming that the language of instruction and examination was English.
 - The minimum three-year requirement does not include full-time enrolment in English as a Second Language (ESL) programs.
 - d)** Successful completion of all levels of an approved ESL program that has been designed for university preparation. Information on whether a particular program is approved as satisfying the English proficiency requirement can be obtained from the School of Graduate and Postdoctoral Studies.
 - e)** The applicant has achieved the required proficiency as listed below on one of the tests in English language acceptable to the University.
 - TOEFL (iBT): 83-87; Minimum sub-scores: Listening 20, Reading 20, Speaking 19, Writing 20
 - TOEFL (paper-based): 560
 - IELTS: 6.5, The School of Graduate and Postdoctoral Studies only accepts IELTS scores in the Academic testing format. Scores from the IELTS General Training format will not be accepted.
 - MELAB: 85
 - CAEL: 70, with no sub-score below 60
 - f)** Original test scores must be submitted from the testing centre to the School of Graduate and Postdoctoral Studies. [The university's TOEFL Code is 7178. Applicants need to provide this code to TOEFL at the time of testing in order for test scores to be forwarded to the university.](#)
 - g)** Test results dated more than 24 months prior to the date of the application for admission to the University will not be considered. An official test score is required.

- 8.5. English language proficiency test scores shall prevail as the determining evidence of English language proficiency.
- 8.6. Notwithstanding the above, individual applicants may be able to establish their spoken and written English language proficiency through some other combination of education, work experience or testing.
 - a) Individual candidates who wish to establish their English language proficiency other than the ways outlined in this section should contact the School of Graduate and Postdoctoral Studies.
 - b) Despite the possibility of other options, please note that a test score from an approved English language proficiency test still prevails as the determining evidence of English language proficiency.
- 8.7. The only exception to the English language proficiency admission requirement is if an applicant is a Canadian citizen who has completed a degree at a Canadian university where the language of instruction is French.
- 8.8. The University reserves the right to test the English language proficiency of all students and to require further English language training.

9. Transfer Credits

- 9.1. The University adheres to the General Policy on the transfer of Course credits, as adopted by the Council of Ontario Universities. While learning experiences may differ in a variety of ways, Course substance may be virtually equivalent in terms of Course content and rigour. When possible, acceptance of Transfer Credit should allow maximum recognition of previous learning experiences in university-level Courses.
- 9.2. Credits from other universities within and outside Canada are evaluated on an individual basis.
- 9.3. Credit is subject to the University's residency requirement and to faculty-specific regulations.
- 9.4. All Course credit transfers into graduate Programs [must normally be made prior to the start of the Semester in which the applicant was admitted and](#) require the approval of the Graduate Program Director of the faculty delivering the equivalent Course.
- 9.5. Graduate Courses are not considered for Transfer Credit if they were completed more than eight years prior to admission or if the grade received in the Course is below B-minus (70 per cent).
- 9.6. Transfer Credits are indicated by a T on the student's Transcript and are not included in the calculation of the GPA.
- 9.7. Normally, Transfer Credits must not have been credited towards an acquired degree or other academic credential.

9.8. Re-evaluation of Transfer Credit decision:

- a) Students may request to have the outcome of an application for Transfer Credits re-evaluated on the basis of new information or additional clarification.
- b) The request should be directed to the Dean of Graduate and Postdoctoral Studies who will refer the case back to the appropriate admissions committee for a final decision.
- c) The request must be lodged in the academic Semester in which the application for Transfer Credit is made.

10. Visiting Students

- 10.1. If certain conditions are met, students may apply to take Courses at other universities within and outside Canada and may request for credits earned to be transferred to their graduate Program at the University.
- 10.2. Similarly, students from other universities within and outside Canada may apply to take Courses at the University that can be applied to their graduate work at the institution at which they are registered.
- 10.3. [For application instructions, eligibility requirements, and restrictions, students should review the relevant section of the Graduate Academic Calendar or policy.](#)

11. Readmission of Former Graduate Students

- 11.1. Students previously admitted to the University, who have withdrawn from their Program, are required to apply for readmission.
- 11.2. Graduate students who have been dismissed from the University are not eligible to apply for readmission.

MONITORING AND REVIEW

- 12. This Policy will be reviewed as necessary and at least every three years. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 13. This section intentionally left blank.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 14. Graduate Academic Calendar
Graduate Admission Categories and Decisions Policy
Graduate Program Changes and Transfers Policy
Graduate Equity, Diversity and Inclusion and Non-Standard Admission Policy
Responsibilities of Graduate Program Directors, Faculty Advisors, Research Supervisors and Graduate Students Policy

Graduate Admission and Application Requirements Policy

Section	Notes on updates/changes
Editorial updates	<p>Capitalized defined terms throughout the policy.</p> <p>Changed “term” to Semester to be consistent with definitions and undergraduate language.</p>
Definitions	Definitions added.
Scope and Authority	Solely GR.
Application for Admission	<p>Existing GR calendar language added from Application procedure, Application deadline, Assessment of eligibility and Honesty in applications section.</p> <p>Removed reference to SGPS mailing address.</p> <p>6.2 editorial amendments for clarity on SGPS setting deadlines and remove reference to SGPS website.</p> <p>6.3 h), i) changed reference of “prerequisite” to “required” as it does not refer to a defined policy term.</p> <p>6.3 i) editorial amendment to clarify reference to Graduate Academic Calendar.</p> <p>6.3 k) clarifying language amendment to replace “in this situation” with “Individuals that do not meet admission requirements”.</p> <p>6.4 b) sentence moved into Honesty in applications section from Assessment of eligibility section. No changed to content.</p>
Admission Requirements	<p>Existing GR calendar language added.</p> <p>7.1 a) editorial amendment to remove extra wording “listed in this section”.</p> <p>7.1 b), c), d) section names revised to include “Minimum Academic Requirements For” Master’s/Doctoral/Diploma programs.</p> <p>7.1 e) editorial language addition to include reference to SGPS and reference to SGPS website corrected to Graduate Academic Calendar.</p>

Graduate Admission and Application Requirements Policy

	<p>7.2 a) editorial language amendment where wording was duplicated in regulation and clarify submission of supporting documents to SGPS.</p> <p>7.2 b) reference to SGPS website corrected to Graduate Academic Calendar and removal of informational reference to document submission instructions.</p>
English Language Proficiency	<p>Existing GR calendar language added.</p> <p>Minor edits to change “you” and “your” to “Applicant” or “Applicant’s” throughout.</p> <p>8.1 changed “regulation” to “policy”.</p> <p>8.2 added reference to Graduate Academic Calendar.</p> <p>8.3 editorial change to remove unnecessary wording “It is also important to note”.</p> <p>8.4 c) changed “may” to “will”.</p> <p>8.4 f) editorial amendments and remove procedural reference to the University’s TOEFL Code, already included on SGPS website.</p> <p>8.5 editorial change to remove unnecessary wording “If you take an approved”.</p>
Transfer Credits	<p>Existing GR calendar language added.</p> <p>9.4 language amendment to add that requests for course credit transfers should be made prior to the start of semester.</p> <p>9.8 new section heading added.</p>
Visiting Students	<p>Existing GR calendar language added. Two general statements from Visiting Students section.</p> <p>10. 3 new language added to refer to Graduate Calendar and/or policy when created.</p>
Readmission of Former Graduate Students	<p>Existing GR calendar language added.</p>



Policy Calendar Copy

The following sections of the Graduate Academic Calendar are impacted by the proposed Graduate Admission and Application Requirements Policy, Graduate Admission Categories and Decisions Policy, Graduate Program Changes and Transfers Policy and Graduate Equity, Diversity, and Inclusion and Non-standard Admission Policy.

SECTION: Admission policies and regulations

Application procedure

Applications for admission to graduate studies programs are submitted online through the Graduate Studies website at gradstudies.ontariotechu.ca/applynow.

Information on how to submit supporting documentation can be found on the Graduate Studies [website](#).

Application deadline dates

Prospective students should refer to gradstudies.ontariotechu.ca/deadlines for application deadlines. Applications submitted after published deadlines may be considered on an individual basis.

Assessment of eligibility

Applications for admission will be assessed for eligibility in accordance with the University's policy on Graduate Admission and Application Requirements [insert link]. Meeting the minimum requirements does not guarantee admission.

Students whose grades have been affected by exceptional circumstances that can be documented are encouraged to write to the School of Graduate and Postdoctoral Studies with appropriate information. Applicants should refer to the Graduate Equity, Diversity and Inclusion and Non-standard Admission Policy [insert link] for more information.

Honesty in applications

Applicants are expected to comply with the University's Honesty in Applications policy, found in the Graduate Admission and Application Requirements Policy [insert link].

Failure to declare previous or concurrent post-secondary education, or the falsification of any documents related to such academic pursuits, may result in suspension or expulsion from the University, including possible revocation of degrees awarded.

Admission requirements

Academic requirements

The academic requirements have been established by the School of Graduate and Postdoctoral Studies and are the minimum required for entry into a graduate program. These are detailed in the Graduate Admission and Application Requirements Policy [insert link].

Some programs may have additional requirements, which could include higher GPA requirements than those required by the School of Graduate and Postdoctoral Studies. Program-specific requirements will be listed in the Graduate Academic Calendar.

Supporting document requirements

A number of supporting documents must be submitted to the School of Graduate and Postdoctoral Studies to complete an application for admission. Required supporting documentation is outlined in the Graduate Admission and Application Requirements policy [insert link].

Some programs may have additional requirements than those listed. Applicants should refer to the Graduate Academic Calendar for program-specific requirements.

Information on how to submit supporting documentation can be found on the Graduate Studies [website](#).

Transfer from a thesis-based master's to a PhD program

This transfer option is for exceptional students who have demonstrated superior academic credentials and outstanding research potential in their master's degree program. Students should refer the Graduate Program Changes and Transfers Policy [insert link] for more information on eligibility to request a transfer.

Some faculties may have specific requirements pertaining to transfer from a thesis-based master's to a PhD program. Please refer to the relevant Program information the Graduate Academic Calendar.

Transfer from a PhD to a master's program

In exceptional circumstances, graduate students may apply to transfer from PhD to master's programs. Students should refer the Graduate Program Changes and Transfers Policy [insert link] for more information on eligibility to request a transfer.

Transfer credits

In some cases, graduate students may transfer credits from another institution. Please see the Transfer Credits section of the Graduate Admission and Application Requirements Policy [insert link] for more information.

English language proficiency

All applicants are required to provide evidence of their oral and written proficiency in English. The Graduate Admission and Application Requirements Policy [insert link] outlines the

minimum requirements and the means by which an applicant may meet the University's English language proficiency requirements.

If an individual program requires higher levels of proficiency to demonstrate English language proficiency, this is listed in the individual program requirements in the Graduate Academic Calendar.

The University reserves the right to test the English language proficiency of all students and to require further English language training.

Types of graduate students and offers of admission

Applicants may be admitted as a regular student, a qualifying student or as a special student at the graduate level. Offers of admission may be firm or conditional upon other factors. For the types of graduate students and information on offers of admission, please see the University's Graduate Admission Categories and Decisions Policy [insert link].

Deferral of applications and offers

A request for a deferral of application or offer must be submitted to the School of Graduate and Postdoctoral Studies. Applicants should refer to the Graduate Admission Categories and Decisions Policy [insert link] for requirements and/or more information.

Refusal of admission

The University may, at its sole discretion, refuse admission to an applicant even if the minimum admission criteria have been met. See the University's Graduate Admission Categories and Decisions Policy [insert link].

Students with disabilities Equity, diversity and inclusion in applications

Applicants with disabilities, Indigenous applicants and equity-seeking applicants may apply for consideration under the Graduate Equity, Diversity and Inclusion and Non-standard Admission Policy [insert link].

Program changes

Students wishing to pursue a program of study other than the one to which they were originally admitted may request a change of program. Students should refer to the Program Changes section of the Graduate Program Changes and Transfers Policy [insert link].

Non-standard applicants

Non-standard applicant status allows individuals the opportunity to demonstrate academic potential by other than conventional academic means. For more information see the Non-standard Applicants section of the Graduate Equity, Diversity and Inclusion and Non-standard Admission Policy [insert link].

Readmission of former graduate students

In accordance with the Graduate Admission and Application Requirements Policy [insert link], Students previously admitted to the University, who have withdrawn from their program, are required to apply for readmission.

Graduate students who have been dismissed from the University are not eligible to apply for readmission.

Calendar copy previously approved:

Classification of graduate students

Regular and qualifying students may be classified as full- or part-time as defined in the Registration and Course Selection policy [\[insert link\]](#).

Sections addressed by other policies:

The following section(s) referred to within this policy will be governed by a stand-alone policy. The calendar language will be updated at that time:

- **Visiting students**



Classification Number	
Framework Category	Academic
Approving Authority	Academic Council
Policy Owner	Dean of Graduate and Postdoctoral Studies
Approval Date	
Review Date	
Supersedes	Academic Regulations, Graduate Academic Calendar 2019-2020

GRADUATE ADMISSION CATEGORIES AND DECISIONS POLICY

PURPOSE

1. The purpose of this Policy is to define graduate-level admission categories and decisions.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

“Course” means a unit of work in a particular subject normally extending through one Semester or session, the completion of which carries credit toward the requirements of a degree or diploma.

“Graduate Program Director” means academic administrators with a graduate faculty appointment within an academic unit and help to ensure the success of the Program and its students.

“Program” means a complete set and sequence of Courses, combination of Courses, and/or other units of study, research and practice, the successful completion of which qualifies the candidate for a formal credential (degree with or without major; diploma), provided all other academic and financial requirements are met.

“Semester” means sixty days of lectures and a final examination period.

“Time-Status” means the declared registration status of a graduate student. Graduate students can be registered full-time or part-time.

SCOPE AND AUTHORITY

3. This Policy applies to graduate-level admission decisions and categories of admission.
4. This Policy does not apply to undergraduate-level admissions, application requirements or related matters. For more information regarding undergraduate-level admission-related policies and procedures please refer to the University’s policy library.
5. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

6. Offers of Admission

- 6.1. Offers of admission for regular and qualifying graduate students are based on the recommendation of the graduate admissions committee for each Program.
- 6.2. Offers of admission will include the specific Program of study, start-term and may confirm the student's intended Time-Status, either Full-Time or Part-Time.

7. Regular Student

- 7.1. Applicants meeting the minimum admission requirements are considered for admission as a regular student.
- 7.2. Regular student offers of admission are either firm offers with no conditions, conditional offers or offers with additional requirements.
- 7.3. **Conditional Admission**
 - a) Conditional offers of admission may include, but are not limited to:
 - requirements for submitting full official documentation;
 - completing a previous degree or attaining; and/or,
 - a minimum score on an ESL test.
 - b) Conditional offers of admission have time limits for the completion of conditions.
 - c) The offer of admission will be rescinded if these conditions are not met.
- 7.4. **Admission with Additional Requirements:**
 - a) In exceptional circumstances, applicants who have some minor deficiency may be offered admission as a regular student with additional requirements.
 - b) Offers of admission with additional requirements may include, but are not limited to:
 - taking additional Courses to make up for minor deficiencies; or,
 - meeting other minor requirements or standards of performance.
 - c) Offers of admission with additional requirements may have time limits.
 - d) Meeting additional requirements are required for successful completion or continuation in a Program.

8. Qualifying Student

- 8.1. In exceptional circumstances, applicants who do not meet the minimum admission requirements may be considered for admission to a qualifying Semester or Semesters.

- 8.2. Applicants must be approved by the Graduate Program Director who will prescribe a Program of study to meet the admission requirements.
- 8.3. During this time, the qualifying applicant will be admitted as a non-degree student until the qualifications outlined have been met and the qualifying student can be moved into regular student status.
- 8.4. Courses taken and other work done during this qualifying period cannot be transferred for credit to the graduate degree or diploma.

9. Special Graduate Student

- 9.1. In exceptional circumstances, applicants who are non-degree or non-diploma seeking students may apply to take graduate-level Courses for professional upgrading or personal interest.
- 9.2. Applicants must apply through the School of Graduate and Postdoctoral Studies and successful students must receive faculty consent prior to registering for the Course.
- 9.3. Normally, Courses taken as a special student cannot be transferred for credit to a graduate degree or diploma.

10. Deferral of Applications and Offers

- 10.1. A request for a deferral of application or offer must be made in writing to the School of Graduate and Postdoctoral Studies.
- 10.2. A deferral of application is normally made after an application has been received by the University and before an offer has been made.
 - a) Applicants may defer their application for up to one year.
 - b) Where an application is deferred, the applicant will not have to reapply but will be reassessed for admissibility on a competitive basis in the relevant admission period.
- 10.3. Applicants who are offered admission may apply to defer their offer of admission for up to one year.
 - a) The deferral must be requested before the start of the term in which the student is scheduled to begin.
 - b) The deferral of offer specifies the new start-time(s) for the offer; this cannot be more than one year.
 - c) Deferrals of offer include a reassessment of scholarships, research assistantships, teaching assistantships and other funding commitments.
 - d) An application for deferral of offer may be rejected. In such cases, an applicant will be given the option of a deferral of application for a specified start-time when it will be reassessed for admissibility on a competitive basis in the relevant admission pool.

11. Refusal of Admission

- 11.1.** Due to enrolment limitations and additional requirements in some Programs, meeting the minimum requirements does not guarantee admission to the Program.
- 11.2.** The University may, at its sole discretion, refuse admission to an applicant even if the minimum admission criteria have been met.
- 11.3. Refusal of Admission and Academic Upgrading**
 - a)** Applicants who do not meet the minimum admission requirements and who are refused admission may be advised by the Graduate Program Director to complete a prescribed set of undergraduate Courses to upgrade their credentials in the hope of a more favourable consideration of the student's application at a later date.
 - b)** Students who successfully complete the prescribed set of undergraduate Courses are not guaranteed admission to a graduate Program.
 - c)** They must resubmit an application to the Program in question and this will be considered with all other applications submitted for that application period.
 - d)** Courses taken and other work done to upgrade a student's credentials cannot be transferred for credit to a graduate degree or diploma.
 - e)** Students completing this undergraduate work apply and register as special students as defined by the University's Office of the Registrar.

MONITORING AND REVIEW

- 12.** This Policy will be reviewed as necessary and at least every three years. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 13.** This section intentionally left blank.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 14.** Graduate Academic Calendar
Graduate Admission and Application Requirements Policy
Graduate Equity, Diversity and Inclusion, and Non-Standard Admission Policy
Responsibilities of Graduate Program Directors, Faculty Advisors, Research Supervisors and Graduate Students Policy

Graduate Admission Categories and Decisions Policy

Section	Notes on updates/changes
Editorial updates	<p>Capitalized defined terms throughout the policy.</p> <p>Changed “term” to Semester to be consistent with definitions and undergraduate language.</p>
Definitions	Definitions added.
Scope and Authority	Solely GR.
Offers of Admission	<p>New heading.</p> <p>6.1 general regulation statement from Qualifying Student section included here.</p> <p>6.2 new language added for clarity regarding offers of admission from Graduate Student Terms and Conditions.</p>
Regular Student	Existing GR calendar language added.
Conditional Admission	Existing GR calendar language added.
Admission with Additional Requirements	<p>Existing GR calendar language added.</p> <p>7.4 a) clarifying language added to reference “In exceptional circumstances”.</p>
Qualifying Student	<p>Existing GR calendar language added.</p> <p>8.1 clarifying language added to reference “In exceptional circumstances”.</p>
Special Graduate Student	<p>Existing GR calendar language added.</p> <p>9.1 clarifying language added to reference “In exceptional circumstances”.</p>
Deferral of Application and Offers	<p>Existing GR calendar language added.</p> <p>Deferral of Applications and Deferral of Offers regulations combined into one section.</p>
Refusal of Admission	<p>Existing GR calendar language added.</p> <p>Additional heading added to section for clarity “Refusal of Admission and Academic Upgrading”.</p> <p>11.3 e) updated language to correctly reference the Office of the Registrar instead of the Undergraduate Calendar.</p>



Classification Number	
Framework Category	Academic
Approving Authority	Academic Council
Policy Owner	Dean of Graduate and Postdoctoral Studies
Approval Date	
Review Date	
Supersedes	Academic Regulations, Graduate Academic Calendar 2019-2020

GRADUATE PROGRAM CHANGES AND PROGRAM TRANSFERS POLICY

PURPOSE

1. The purpose of this Policy is to provide a framework for graduate-level Program changes and Program transfers.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

“Graduate Program Director” means academic administrators with a graduate faculty appointment within an academic unit and help to ensure the success of the Program and its students.

“Program” means a complete set and sequence of courses, combination of courses, and/or other units of study, research and practice, the successful completion of which qualifies the candidate for a formal credential (degree with or without major; diploma), provided all other academic and financial requirements are met.

“Master’s Degree” means an advanced degree that is normally completed after receiving a first degree in a related subject area. It contains a prescribed set of courses, and/or other units of study, research or practice within an area of disciplinary or interdisciplinary study, normally requiring at least 30 credit hours of study. Master’s Degrees may comprise a thesis component, a project or major paper, or be primarily comprised of coursework:

- a) A **Master’s Degree with thesis** is a research oriented Program comprised of advanced courses and intensive research culminating in a thesis. The thesis constitutes at least nine credit hours and involves an oral examination with assessment by an external examiner.
- b) A **Master’s Degree with a project or major paper** is a research oriented Program comprised of advanced courses and intensive research culminating in a project or major paper. The project or major paper constitutes at least six credit hours of supervised research and assessment by a research supervisor and a second reader.
- c) A **Master’s Degree by coursework** is comprised primarily of course work, and may also include other units of study, research and practice.

“Doctoral Degree” means an advanced degree in a specific area of disciplinary or interdisciplinary study that includes course work and a candidacy exam. It is normally completed after receiving a Master’s Degree in a related subject area. A Doctoral Degree requires intensive

research and the creation and defence before an examining committee of a thesis that constitutes an original contribution to a field of study.

SCOPE AND AUTHORITY

3. This Policy applies to graduate-level Program changes and transfers between one graduate Program and another.
4. This Policy does not apply to undergraduate-level Program changes and Program transfers. For more information regarding undergraduate-level Programs please refer to the relevant policies or procedures in the University's policy library.
5. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

6. Program Changes

- 6.1. Students wishing to pursue a Program of study other than the one to which they were originally admitted must contact the School of Graduate and Postdoctoral Studies.
- 6.2. Such requests are subject to the admission requirements of the new Program of study and final approval rests with the graduate admissions committee of the Program.
- 6.3. Changes are permitted only if space is available and all academic requirements are met.
- 6.4. Students may be required to complete another application for admission.
- 6.5. ~~Program change Requests~~ requests must be submitted to the School of Graduate and Postdoctoral Studies before the last day to submit a program change request in the Graduate Academic Schedule each Semester. September 1 for the fall Semester, January 1 for the winter Semester and May 1 for the spring/summer Semester.

7. Transfer from a Thesis-based Master's Degree Program to a Doctoral Degree Program

- 7.1. This transfer option is for exceptional students who have demonstrated superior academic credentials and outstanding research potential in their Master's Degree Program.
- 7.2. Applicants are considered on a case-by-case basis and may not be considered at all in some Programs.
- 7.3. If a transfer from a Master's Degree Program to a Doctoral Degree Program is allowed in a Program, the following criteria must be met before a transfer from a Master's to a Doctoral Degree Program can be considered:
 - a) Completion of a full Master's Degree Program of course work with at least an A-minus average.
 - b) Significant progress in the student's Master's research project.

- c) Strong evidence of ability for advanced independent research.
 - d) Approval of the transfer by the Research Supervisor(s), supervisory committee, the Graduate Program Director and the Dean of Graduate and Postdoctoral Studies.
 - e) Satisfactory completion of the PhD candidacy exam.
- 7.4. A judgment of satisfactory in the candidacy exam allows the student to transfer from a Master's Degree Program to a Doctoral Degree Program.
 - 7.5. Upon transferring, the student must fulfill all other requirements for the Doctoral Degree Program.
 - 7.6. If the judgment is unsatisfactory, the student will continue in the Master's Degree Program.
 - 7.7. There will be only one examination allowed for the transfer from a Master's Degree Program to a Doctoral Degree Program.
 - 7.8. Some faculties may have specific requirements pertaining to transfer from a thesis-based Master's Degree Program to a Doctoral Degree Program. Refer to the Graduate Academic Calendar for more information.

8. Transfer for a Doctoral Program to a Master's Program

- 8.1. In exceptional circumstances, Graduate students may apply to transfer from Doctoral Degree Program to a Master's Degree Program.
- 8.2. Transfers are only permitted if they are appropriate for the graduate student's personal and/or professional goals.
- 8.3. Doctoral students who are not performing at a satisfactory level in their Doctoral Degree Program normally will not be considered for transfer to a Master's Degree Program.

MONITORING AND REVIEW

- 9. This Policy will be reviewed as necessary and at least every three years. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 10. This section intentionally left blank.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 11. Graduate Academic Calendar
 Graduate Admission and Application Requirements Policy
 Graduate Admission Categories and Decisions Policy
 Responsibilities of Graduate Program Directors, Faculty Advisors, Research Supervisors and Graduate Students Policy

Graduate Program Changes and Transfers Policy

Section	Notes on updates/changes
Editorial updates	<p>Capitalized defined terms throughout the policy.</p> <p>Changed “term” to Semester to be consistent with definitions and undergraduate language.</p>
Definitions	Definitions added.
Scope and Authority	Solely GR.
Program changes	<p>Existing GR calendar language added.</p> <p>6.1 editorial language changes to clarify they must contact SGPS and remove procedural reference to submission of program change form.</p> <p>6.5 language amendment to reference the Graduate Academic Schedule for the last day to submit a program change request.</p>
Transfer from a Thesis-based Master’s Degree Program to a Doctoral Degree Program	<p>Existing GR calendar language added.</p> <p>Changed “PhD” to “Doctoral”.</p> <p>Editorial changes to ensure consistency in wording throughout with Master’s Degree Program/Doctoral Degree Program.</p> <p>7.8 editorial language amendment to reference Graduate Academic Calendar instead of individual programs.</p>
Transfer for a Doctoral Program to a Master’s Program	<p>Existing GR calendar language added.</p> <p>Changed “PhD” to “Doctoral”.</p> <p>Editorial changes to ensure consistency in wording throughout with Master’s Degree Program/Doctoral Degree Program.</p> <p>8.1 clarifying language added to reference “In exceptional circumstances”.</p>



Classification	
Framework Category	Academic
Approving Authority	Academic Council
Policy Owner	Dean of Graduate and Postdoctoral Studies
Approval Date	
Review Date	
Supersedes	Academic Regulations, Graduate Academic Calendar 2019-2020

GRADUATE EQUITY, DIVERSITY AND INCLUSIVITY AND NON-STANDARD ADMISSION POLICY

PURPOSE

1. The purpose of this Policy is to outline exceptional conditions under which admission to a graduate Program may be considered.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

“Course” means a unit of work in a particular subject normally extending through one semester or session, the completion of which carries credit toward the requirements of a degree or diploma.

“Disability” means:

- a) any degree of physical Disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- b) a condition of mental impairment or a developmental Disability,
- c) a learning Disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- d) a mental disorder, or
- e) an injury or Disability for which benefits were claimed or received under the insurance plan established under the *Workplace Safety and Insurance Act*.

“Grade Point Average (GPA)” means the weighted average of the grade points awarded on the basis of academic performance during a single semester.

“Indigenous Peoples” means a collective name for the original peoples of North America and their descendants (Government of Canada, 2019).

“President's Equity Taskforce (PET)” means the group tasked with mobilizing a diverse movement of people across the University to create and establish equitable and inclusive practices at (Ontario Tech) within a three-year term (Ontario Tech, 2019).

“Program” means a complete set and sequence of Courses, combination of Courses, and/or other units of study, research and practice, the successful completion of which qualifies the candidate for a formal credential (degree with or without major; diploma), provided all other academic and financial requirements are met.

SCOPE AND AUTHORITY

3. This Policy applies to graduate-level exceptional conditions under which admission may be considered.
4. This Policy does not apply to undergraduate-level special considerations for admission.
5. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

6. Equity Admissions

- 6.1. Applicants who consider themselves personally or academically disadvantaged for reasons that are beyond their control, may apply as a non-standard applicant.
- 6.2. The School of Graduate and Postdoctoral Studies may consult with the President's Equity Taskforce in the assessment of the application for admission.

7. Students with Disabilities

- 7.1. In addition to their application for admission to a graduate Program, the University welcomes supporting documentation from applicants with Disabilities.
- 7.2. The School of Graduate and Postdoctoral Studies, in co-operation with Student Accessibility Services, will ensure that each applicant is treated in a fair and equitable manner.
- 7.3. Any documentation should be forwarded directly to the appropriate department by the application deadline.
- 7.4. Applicants should submit relevant supporting documentation to the University's Student Accessibility Services by the application deadline.

8. Indigenous Applicants

- 8.1. The University is dedicated to accessible education and recognizes that Indigenous Peoples make valuable contributions to learning and discovery.
- 8.2. An applicant who has self-identified as Indigenous to Canada, who has completed an undergraduate degree, but does not meet the minimum GPA for admission to a graduate diploma or master's Program, may be considered for non-standard admission by the Program and School of Graduate and Postdoctoral Studies.
- 8.3. Admission may be based on additional factors such as the student history, cultural knowledge, work experience, educational goals and other achievements.

9. Non-standard Applicants

- 9.1. Non-standard applicant status allows individuals the opportunity to demonstrate academic potential by other than conventional academic means.
- 9.2. Applicants that have completed a baccalaureate degree in a relevant discipline and have not met the normal minimum admission requirements may apply for non-standard admission to a master's level Program, providing that:
- a) They have a minimum of four years of relevant professional experience; and, ~~Four years after completion of a baccalaureate degree in a relevant discipline, applicants who do not meet the normal minimum admission requirements may apply as a non-standard applicant to a master's level program.~~
 - b) Have graduated no less than four years prior to application for admission. ~~Non-standard applicants with a degree must have a minimum of four years of relevant professional experience.~~
- 9.3. Applicants who have not earned a baccalaureate degree, may apply for non-standard admission to a master's level Program, providing that:
- a) ~~but who they~~ have other relevant academic credentials; and,
 - b) ~~normally~~ 10 or more years of extensive and relevant workplace experience ~~may also be considered as a non-standard applicant for a master's level program.~~
- 9.4. Non-standard applicants must submit references that specifically make a case that the applicant has an aptitude for research and graduate education.
- 9.5. Non-standard applicants normally cannot receive transfer credit for any Courses.
- 9.6. In addition to meeting all University and Program-specific admission documentation requirements, non-standard applicants must provide a resumé, a one- or two-page statement of academic intent and a qualification portfolio.
- a) The statement of intent should cover the following points:
 - Reasons for wanting to pursue graduate studies; and,
 - Future career goals.
 - b) The qualification portfolio should include the following components:
 - An explanation of how activities that they have engaged in, including work or volunteer experience, professional development activities, personal study and interests, have prepared them for success in graduate studies at university;
 - Explanations/documentation for any previous poor academic performance; and,
 - Samples of writing within a professional context (e.g., company reports) that demonstrate their academic potential.
- 9.7. Non-standard applicants without a degree must demonstrate how they have satisfied the equivalent of the bachelor's degree-level expectations that have been established by the Council of Ontario Universities.

- 9.8. By doing this, non-standard applicants without a degree must show how they have the equivalent of a relevant degree at an appropriate level of performance.
- 9.9. These degree-level expectations are available from the School of Graduate and Postdoctoral Studies.
- 9.10. Only a few Programs will consider non-standard applicants without degrees.
- 9.11. Non-standard applicants without degrees may be admitted into a qualifying Program as a transition into full admission.
- 9.12. Individual Programs may request additional requirements and materials from non-standard applicants.

MONITORING AND REVIEW

- 10. This Policy will be reviewed as necessary and at least every three years. The Dean of Graduate and Postdoctoral Studies, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 11. This section intentionally left blank.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 12. Graduate Academic Calendar
Graduate Admission and Application Requirements Policy
Graduate Admission Categories and Decisions Policy

Graduate Equity, Diversity and Inclusion and Non-standard Admission Policy

Section	Notes on updates/changes
Editorial updates	Capitalized defined terms throughout the policy.
Definitions	Definitions added.
Scope and Authority	Solely GR.
Equity Admissions	New language added to address equity in admissions.
Students with Disabilities	<p>Existing GR calendar language added.</p> <p>7.1 language amendment to clarify “in addition to their application for admission”, supporting documents are welcome.</p> <p>7.4 clarifying editorial amendments to remove reference to both University campus locations, addition of “relevant supporting” documentation and addition of “by the application deadline”.</p>
Indigenous Applicants	<p>Existing GR calendar language added.</p> <p>8.2 editorial language addition clarifying may be considered for “non-standard” admission.</p> <p>8.3 editorial language addition to clarify “Admissions may be based on” and remove reference to graduate studies email address.</p>
Non-standard Applicants	<p>Existing GR calendar language added.</p> <p>9.2 & 9.3 reorganized regulation section for better clarity and combined duplicate information. No changed made to content or intent.</p> <p>9.7 editorial amendment to remove “In addition”.</p> <p>9.10 removal of procedural language referencing contacting SGPS for information on options for a particular program.</p> <p>9.12 removal of procedural language referencing contacting SGPS for formatting guidelines.</p>

ACADEMIC COUNCIL REPORT

SESSION:

Public

ACTION REQUESTED:

Decision
Discussion/Direction
Information

TO: Academic Council

DATE: May 26, 2020

PRESENTED BY: Cheryl Foy, University Secretary and General Counsel
Niall O'Halloran, Policy and Compliance Advisor

SUBJECT: Draft Technology Use Policy for Consultation

COMMITTEE/BOARD MANDATE:

- Academic Council has a role in the Policy Framework as a mandatory consultation body for all substantive amendments to existing Legal, Compliance and Governance Policies.
- We ask for your consideration of and comments on substantive amendments to the Code of Ethical Conduct Policy and related policy instruments

BACKGROUND/CONTEXT & RATIONALE:

- Ontario Tech currently has no comprehensive code of ethical conduct for employees, relying instead on a variety of conflict of interest clauses embedded in existing policy instruments. The process for addressing conflicts of interest in each policy instrument may differ, as may the requirements for different types of employees.
- The university is regularly asked to represent in contractual agreements that it has a code of ethics.
- We have developed a draft code of ethical conduct policy and supporting procedures to create a framework for addressing conflicts of interest, the acceptance of gifts, the use of university resources, confidentiality, policy compliance, and other ethical considerations.

RESOURCES REQUIRED:

- Existing USGC resources will be used to implement the process for receiving and reviewing gift reports from the university and subsequent reporting to Board committees.

IMPLICATIONS:

- N/A

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- This policy supports the university's values of integrity and respect, honesty and accountability.

ALTERNATIVES CONSIDERED:

- N/A

CONSULTATION:

- Senior Leadership Team (May 11, 2020)
- Governance, Nominations and Human Resources Committee (May 14, 2020)
- Online Consultation (May 18 to June 1 2020)
- Policy Advisory Committee (May 19, 2020)
- Academic Council (May 26, 2019)
- Administrative Leadership Team (June 9, 2020)
- Audit & Finance Committee (Deliberation – June 17, 2020)
- Board of Governors (Approval – June 25, 2020)

COMPLIANCE WITH POLICY/LEGISLATION:

- *Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31*
- *Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended*
- *Human Rights Code, R.S.O. 1990, c. H.19*

NEXT STEPS:

- Continue consultation and approval path outlined above

SUPPORTING REFERENCE MATERIALS:

- Draft Code of Ethical Conduct Policy
- Draft Gift Registry Procedures
- Draft Code of Ethical Conduct Investigation Procedures
- Draft Conflict of Interest Procedures



Classification Number	LCG XXXX
Framework Category	Legal, Compliance and Governance
Approving Authority	Board of Governors
Policy Owner	University Secretary and General Counsel
Approval Date	DRAFT FOR CONSULTATION
Review Date	
Supersedes	

CODE OF ETHICAL CONDUCT POLICY

PURPOSE

1. The purpose of this Policy is to promote standards of ethical conduct that advance integrity and accountability, and support the University’s mission, vision and values.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

“**Confidential Information**” means any information deemed confidential under University information security policies, non-public or proprietary University information, information expressly or implicitly shared in confidence, and any and all personal information as defined in the Freedom of Information and Protection of Privacy Act.

“**Employees**” means individuals, including students, who are employed by the University or holding an appointment with the University including paid, unpaid and/or honorific appointments.

“**Expenses for Outside Activities**” means travel and accommodation expenses incurred by an Employee in the completion of voluntary service (including voluntary service with payment of an Honorarium) to an entity other than the University.

“**External Funding and Awards**” means grants and funding such as research grants, fellowships, awards or honors that are awarded to an individual for academic merit and not administered by the University. These honors are not considered gifts for the purposes of this Policy.

“**Exempt Outside Activities**” means Related Outside Activities that constitute service to the employee’s discipline or to the University. This includes teaching in Ontario Tech Continuous Learning, being an external reviewer for a department at another university, being an external referee for a promotion or tenure case, acting as a peer reviewer for a granting agency or publisher, serving as editor of a journal in one’s area of expertise, serving as a local, regional, national or international representative on a professional organization and serving on a board of directors at the University’s request.

“**Honorarium**” means a voluntary payment of \$500 or less made to a person for services for which fees are not legally or traditionally required. [NTD: \$500 threshold from CRA]

“**Report**” means a written report made by a University Member under this Policy concerning any actual or perceived violation of this Policy where the report is:

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- Made to a University Recipient;
- Based on a reasonable belief or information that the violation has occurred; and
- Not malicious, frivolous, vexatious and/or knowingly false.

“Related Person” means a spouse, common-law spouse, ~~same-sex domestic~~ partner, child, stepchild, sibling, parent, sister/brother-in-law, mother/father-in-law, niece, nephew, aunt, uncle, cousin, grandparent or grandchild of an Employee or an individual with whom an Employee has an ongoing or past romantic or sexual relationship. ~~In an intimate relationship~~

“Related Outside Activities” means activities which involve the same kind of specialized skills and knowledge that the employee uses in the employ of the University. Activities such as teaching at other post-secondary institutions, private contracts, consulting, professional practice, being an officer of a company whose business relates to the teaching/research interests of the faculty member and serving on a board of directors when not at the request of the University are examples of related outside activities.

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"Reprisal" refers to the retaliation against, coercion, dismissal, threats or intimidation of any individual who in good faith: submits a Report, or participates in a related investigation under this procedure.

“Senior Academic Administrator” means a person who holds any of the following positions:

- Vice-President, Academic and Provost;
- Associate Provost;
- Dean;
- Vice-President with the designated responsibility for overseeing the University research function;
- Any other position as designated and approved in accordance with the University of Ontario Institute of Technology Act and By-Laws.

“University Administered Funding” means grants and funding such as research grants, fellowships, awards or honors that are awarded to an individual or a research project, and administered by the University in accordance with applicable research finance procedures. This type of funding is not considered a gift for the purposes of this policy.

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“University Gift” means a voluntary gift of cash and/or kind, given to the benefit of the University. University Gifts are not subject to the value restrictions set out in this Policy, and will be accepted in accordance with the University’s Gift Acceptance Policy. [NTD: this could include gifts of training/conference invitations for non-speakers; gifts of text books]

“Unrelated Outside Activities” means activities which are distinct from the work done for the University by the employee, such as running an unrelated business, community work and volunteer work.

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“University Member” means any individual who is:

- Employed by the University;
- Registered as a student, in accordance with the academic regulations of the University;
- Holding an appointment with the University, including paid, unpaid and/or honorific appointments; and/or

- Otherwise subject to University policies by virtue of the requirements of a specific policy (e.g. Booking and Use of University Space) and/or the terms of an agreement or contract.

“**University Recipient**” means the:

- Appropriate supervisor or manager;
- Chief Financial Officer (CFO) for a Report that is finance-related, or the Chair of the Audit and Finance Committee where the disclosure may implicate the CFO; or
- General Counsel (GC) for a Report that is non-financial, or the Chair of the Governance, Nominations and Human Resources Committee (GNHR) where the disclosure may implicate the GC.

“**University Resources**” means tangible or intangible property, facilities and/or assets purchased, leased or acquired by the University, or under the University's control, that are intended to foster or support the ongoing mission of the University.

“**Unrelated Outside Activities**” means activities which are distinct from the work done for the University by the employee, such as running an unrelated business, community work and volunteer work.

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SCOPE AND AUTHORITY

3. This Policy applies to Employees of the University.
4. The University Secretary and General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

5. All Employees will act ethically and with integrity. Employees are responsible to the University for their actions, and decisions not to act, when they are representing the University.
6. **Compliance with Laws, University by-laws and Policies**
 - 6.1. Employees must be familiar with the compliance requirements that govern their work at the University. These include laws, University by-laws, policies, procedures and contractual commitments.
 - 6.2. Employees must, in good faith, adhere to compliance requirements in fulfilling their duties. Where there is a question about compliance, Employees are expected to seek guidance from their supervisors.
 - 6.3. Employees must complete all mandatory compliance training within six months of their start date and prior to engaging in any activities that require specialized training.
 - 6.4. University Members in regulated professions whose roles at the University consist of regulated professional activities must comply with all applicable codes or standards in all of their professional activities.
7. **Confidentiality and Privacy**

- 7.1. Employees may have access to Confidential Information in connection with the performance of their duties. Confidential Information must not be used or disclosed without direction. Disclosure of Confidential Information without a legitimate purpose is prohibited. Where there is a question about the disclosure or use of Confidential Information, Employees are expected to seek guidance from their supervisor.
- 7.2. Employees must be familiar with and comply with relevant laws and University policies and procedures pertaining to privacy and the access, use, modification, protection, and disclosure of personal information.

8. Conflict of Interest

- 8.1. To ensure public and professional trust and confidence, the University will deal with actual, potential, or perceived conflicts of interest in a consistent and transparent way.
- 8.2. A conflict of interest arises when an Employee’s official power, duty or function provides an opportunity to further their private interests or those of a Related Person, friend or external organization, or to improperly further another person’s private interests.
- 8.3. Employees must not act in self-interest or further their private interests by virtue of their position at the University or through fulfilling their University responsibilities.

~~8.3.~~

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~~9. Potential Conflicts of Interest moved to Conflict of Interest Procedures~~

10.9. Addressing Conflicts of Interest

- 9.1. In all cases where an Employee believes or suspects they may be in a real, potential or perceived conflict of interest, they must disclose it to their supervisor immediately.

~~10.1.~~

- 10.2.9.2. Conflicts of interest disclosed under this policy will be resolved by the supervisor in accordance with the Procedure to Address Conflicts of Interest under this policy.

- 9.3. Provided potential conflicts of interest can be mitigated in an approved mitigation plan, an individual may be permitted to remain involved in a situation with a potential conflict of interest.

~~10.3.~~

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- 10.4.9.4. **Related Persons:** A Related Person may apply for, and be considered for positions at the University. An Employee should not exercise any form of supervision or direct influence over a Related Person and should not be the sole decision-making authority for decisions related to hiring, tenure, promotions, renewal of contracts, performance evaluation, disciplinary procedures, salary considerations or confidentiality for a Related Person.

~~9.5.~~ ~~Favors: from students under your supervision. No consent in a power based relationship.~~ Relationships with individuals under supervision: Employees hold a position of trust and power in their interactions with students and individuals who report to them. Relationships (including sexual and romantic relationships) must not jeopardize the effective functioning of the University by the appearance of either favoritism or unfairness in the exercise of professional judgment. Employees are expected to be aware of their professional responsibilities and to avoid apparent or actual conflict of interest, favoritism or bias. Employees should exercise discretion when asking for favors from individuals under their supervision, due to the inherent power imbalance, as mutual consent may be in question.

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~~10.5.~~

~~10.6.9.6.~~ Intimate Relationships: The existence of an intimate sexual or romantic relationship between an Employee and a person who reports to them in an employment/supervisory relationship or who relies upon them for opportunities to further their academic or employment career must be disclosed, to their supervisor. Their supervisor will remove any ability to exercise any form of supervision or direct influence.

11.10. Concurrent Employment and Conflict of Commitment

~~11.1.10.1.~~ A conflict of commitment occurs when an Employee's commitment to external activities adversely affects their capacity to meet University responsibilities, or results in a divided loyalty between the University and an external organization. Accordingly, the nature and extent of professional service, consulting and related work undertaken should complement the primary commitment of Employees to the University: and/or benefit the profile of the University. Concurrent employment must not detract from the University's right to full-time and efficient service from its full-time Employees.

10.2. Before an Employee accepts any Related Outside Activities or Unrelated Outside Activities that are not Exempt Outside Activities external activities that may result in a Conflict of Interest or conflict of commitment, the Employee must report the potential employment or activity to the University to ensure that there is no Conflict of Interest or conflict of commitment.

~~11.2.10.3.~~ Exempt Outside Activities do not need to be reported in advance, and an employee may accept an Honorarium for their service.

10.4. Any concurrent employment of a student who is an Employee does not need to be reported and will be deemed to have been preapproved.

~~11.3.10.5.~~ Reporting of Conflicts of Commitment will be done in accordance with the established procedures, and in accordance with the relevant collective agreement where the employee is a member of a bargaining unit.

12.11. Political Activity

~~12.1.11.1.~~ Employees are free to participate actively in the political process and the University upholds the right of every person to support political parties, political committees, and candidates of their choosing. Employees have the right to seek and

hold political office. The University requires that an Employee's efforts devoted to political activity:

- a) Not constitute a Conflict of Interest;
- b) Be outside of working hours;
- c) Be without contribution or other support from the University;
- d) Be without implied or official endorsement by the University due to the Employee's position at the University; and
- e) Not involve the use of University Resources.

13.12. Use of University Resources

13.1.12.1. Employees may only use University Resources for activities on behalf of the University and within their scope of responsibility.

13.2.12.2. Notwithstanding section XX.1, University Resources may be used for personal purposes in limited circumstances when permitted by an existing policy or where incidental personal use is reasonable in all of the circumstances.

13.3.12.3. The use of University Resources is prohibited where resources are used:

- a) To perform duties associated with outside employment.
- b) In a way that impedes normal University activities.
- c) In a way that creates additional expense for the University.
- d) For the purposes of political campaigning.

13.4.12.4. Employees are required to treat University Resources with care and to adhere to laws and university policies and procedures regarding the acquisition, use, maintenance, documentation, and disposal of University Resources.

14.13. Accepting Gifts and Hospitality

14.1.13.1. This section addresses gifts and hospitality accepted by an individual Employee. For information related to ~~philanthropic gifts and fundraising accepted on behalf of the University~~ **University Gifts**, see the Gift Acceptance Policy (LCG 1130).

14.2.13.2. Employees must not accept gifts or hospitality that are connected directly or indirectly with the performance of their University responsibilities or position, where a reasonable person might conclude that the gift could influence the Employee when performing their duties on behalf of the University. Employees must avoid the appearance of a Conflict of Interest due to the acceptance of gifts from entities involved in a business transaction with the University, or subject to a decision the Employee will make.

14.3.13.3. Acceptance of cash or cash equivalents as gifts is always strictly prohibited.

14.4.13.4. Tangible Gifts

Consistent with section XX.2, gifts may be accepted where they do not exceed a maximum value of \$250 for a single gift and are:

- a) The normal exchange of gifts between friends;

- b) Tokens exchanged as part of protocol;
- c) The normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.

14.5.13.5. Hospitality and Expenses for Outside Activities

Consistent with section XX.2, reasonable hospitality and Expenses for Outside Activity, including meal-related expenses, may be accepted where it is the normal exchange of hospitality between persons doing business together, and would be otherwise allowable as a business expense claim under the University's Expense Policy and Procedure.

14.6.13.6. Maximum annual gift value

The cumulative maximum cash value limit for tangible gifts and hospitality permitted by this section from a single source in a calendar year is \$250500.

14.7.13.7. Event and Conference Invitations

- a) Individuals who are invited to attend a conference, workshop, seminar, etc. to speak, or participate on a panel are sometimes gifted with admission, registration, transportation, and accommodation costs as a condition of their participation. Where the participation relates to the Employee's University responsibilities or their major academic interests, the maximum cash value that may be accepted related to a single invitation is \$8,000. The cumulative maximum cash value limit for conference invitations permitted by this section from a single source in a calendar year is \$16,000.
- b) An Employee can accept an event invitation provided the value is \$500 or less. The cumulative maximum cash value limit for event invitations permitted by this section from a single source in a calendar year is \$500.
- c) The chair of the University's Board of Governors, the President, Senior Academic Administrators, Vice-Presidents, General Counsel or Assistant Vice-Presidents, can accept an event invitation from a donor or friend of the University provided the value is \$1,000 or less. The cumulative maximum cash value limit for event invitations permitted by this section from a single donor or friend of the university in a calendar year is \$2,000.
- d) Sections XX and XX do not apply to attendance at social events if attendance at the social event is sponsored by a charitable foundation, the Governor General of Canada, a provincial Lieutenant Governor, any Canadian federal, provincial, municipal or regional government or any member of any such government, a consul or ambassador of a foreign country or a not-for-profit organization, provided the not-for-profit organization is not constituted to serve management, union or professional interests and does not have for-profit enterprises or representatives of for-profit enterprises as a majority of its members.
- d)e) Where the value of an event or conference invitation would exceed the thresholds in section 13.7 a), b), or c), an employee's supervising Vice-President may approve, in writing, an increase in the threshold value for a specific gift. In considering the increase, the supervising Vice-President will

consider any potential, actual or perceived Conflict of Interest, as well as any reputational, academic or other institutional benefits.

~~14.9.13.8.~~ The University will establish a procedure for reporting of gifts and hospitality received. The ~~university~~ University will maintain a registry of gifts and hospitality accepted by its Employees and provide a report to the Board of Governors each year.

~~15.14.~~ Reporting and Investigation

~~15.1.14.1.~~ Maintaining the ethical standards of this Policy is the responsibility of every Employee. Anyone who has observed or learned of a violation of this Policy should make a written Report to a University Recipient. Reports will be addressed in accordance with the University Investigation Procedure.

~~16.15.~~ Protection from Reprisal

~~16.1.15.1.~~ No University Member who makes a Report will be subjected to Reprisal, either directly or indirectly. The University will investigate and take all appropriate action to address allegations of Reprisal.

MONITORING AND REVIEW

~~17.16.~~ This Policy will be reviewed as necessary and at least every three years. The University Secretary and General Counsel, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

~~18.17.~~ Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended
Human Rights Code, R.S.O. 1990, c. H.19
Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c F. 31

RELATED POLICIES, PROCEDURES & DOCUMENTS

~~19.18.~~ Gift Registry Procedures (in development)
Code of Ethics Investigation Procedures (in development)
Conflict of Interest Procedures (in development)
Personal Use of University Resources Policy
Technology Use Policy
Harassment and Discrimination Policy and Procedure
Policy Against Workplace Violence, Harassment and Discrimination and related procedures
Information Security Policy
Procurement of Goods and Services Policy and Procedure
Supply Chain Code of Ethics

Fair Processes Policy

Safe Disclosure Policy and Procedures

Policies that address Conflicts of Interest in specific situations:

- Gift Acceptance Policy
- Use of Instructor-Produced Materials for Course Requirements Procedure
- The Conflict of Interest in Research Policy
- Expendable Funds Policy
- Statement of Investment Policies

DRAFT



Classification Number	<i>To be assigned by Policy Office</i>
Parent Policy	Code of Ethical Conduct Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	Audit & Finance Committee
Policy Owner	General Counsel
Approval Date	DRAFT FOR CONSULTATION
Review Date	
Supersedes	

PROCEDURE TO ADDRESS CONFLICTS OF INTEREST

PURPOSE

1. The purpose of these Procedures is to provide a consistent process for supervisors to address conflicts of interest reported by their Employees.

DEFINITIONS

2. For the purposes of these Procedures the following definitions apply:

“Employees” means individuals, including students, who are employed by the University or holding an appointment with the University including paid, unpaid and/or honorific appointments.

“Conflict of Interest” means a situation where an Employee has an opportunity to exercise an official power, duty or function in a way that furthers his or her private interests or those of his or her relatives or friends or that improperly furthers another person’s private interests

SCOPE AND AUTHORITY

3. These Procedures apply to all Employees.
4. The General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. Responsibilities

- 5.1. **Supervisors** are responsible for:
 - a) Receiving Conflict of Interest declarations from their Employees.
 - b) Developing a mitigation plan to address a Conflict of Interest reported by an Employee.
- 5.2. **Employees** are responsible for:
 - a) Immediately declaring any real, potential or perceived Conflict of Interest that arises to their supervisor in writing.

- b) Following the direction of any mitigation plan established under this procedure.

5.3. The Office of the University Secretary and General Counsel is responsible for:

- a) Advising on the development of Conflict of Interest mitigation plans.
- b) Reporting to the Board of Governors on Conflicts of Interest.

6. Conflict of Interest Reporting

6.1. Employees will declare any Conflict of Interest in writing. A supervisor who receives a declaration of Conflict of Interest will determine whether the declaration amounts to a real, potential or perceived Conflict of Interest and the significance thereof. In making this determination, the supervisor will consider:

- a) The type or extent of the Employee's interest;
- b) The significance of the University's decision or activity;
- c) The extent to which the Employee's other interest may specifically affect the University's decision or activity;
- d) The nature or extent of the Employee's involvement in the University's decision or activity.

6.2. The Office of the University Secretary and General Counsel can provide advice and guidance to a supervisor in this determination.

7. Mitigation plan

7.1. The supervisor will determine whether the conflict of Interest can be mitigated, guided by applicable University policy instruments, and applicable legislation. If not, the Employee will be advised that they cannot engage in the activity declared. The Office of the University Secretary and General Counsel can provide advice and guidance to a supervisor in this determination.

7.2. The mitigation plan will document the Conflict of Interest, whether it is real, potential or perceived, and provide direction on how to mitigate areas of Conflict of Interest. The plan will consider and be proportional to the type of conflict of interest involved (e.g. real, potential or perceived), the extent to which the Employee might be inappropriately influenced and the harm that is likely to result from such influence or the perception of such influence. The plan may do so by one or more of the following means:

- a) Taking no action;
- b) Enquiring as to whether all affected parties will consent to the Employee's involvement;
- c) Seeking a formal exemption to allow participation (if such a legal power applies);
- d) Imposing additional oversight or review over the Employee;
- e) Withdrawing from discussing or voting on a particular item of business at a meeting;

- f) Exclusion from a committee or working group dealing with the issue;
- g) Re-assigning certain tasks or duties to another person;
- h) Agreement or direction not to do something;
- i) Withholding certain confidential information, or placing restrictions on access to information;
- j) Transferring the Employee (temporarily or permanently) to another position or project;
- k) Relinquishing the private interest; or
- l) Resignation or dismissal from one or other position or entity.
- m) Removing the Employee from a supervisory position over an individual where there is a Conflict of Interest.

7.3. Conflict of Interest mitigation plans will be approved by the Vice-President of the applicable organizational area, or where the Conflict of Interest involves a member of the Senior Leadership Team, the Audit and Finance Committee.

8. Scenarios involving Conflict of Interest

- 8.1. **Intimate Relationships:** When an Employee engages in an intimate relationship with a person who reports to them in an employment/supervisory relationship or who relies upon them for opportunities to further their academic or employment career. The supervisor will remove any ability to exercise any form of supervision or direct influence.
- 8.2. **Interest in any Concern:** When an Employee or a Related Person works for or has a substantial financial interest in any concern that does business or seeks to do business with the University. The supervisor may remove the Employee from any role involved in evaluating bids, or negotiating with the concern.
- 8.3. **Representation by Related Person:** When an Employee is representing the University in a transaction and a Related Person is representing the other Concern. The supervisor may remove the Employee from any role involved in evaluating bids, or negotiating with the concern.
- 8.4. **Inappropriate Use of Information:** Use or communication by an Employee of Confidential Information obtained in the course of University related activities or as a result of their position at the University for personal gain or other unauthorized purposes. The supervisor may require the Employee to sign a confidentiality agreement relating to information obtained in the course of official duties.
- 8.5. **Political activity** When an Employee uses their position with the University in a political campaign to imply that they have the support or endorsement of the University. The supervisor may require the Employee to take a leave of absence during the campaign period for provincial or federal campaigns.

9. Reporting

- 9.1. Approved mitigation plans will be forwarded to the Office of the University Secretary and General Counsel. The Office of the University Secretary will report to the Audit and Finance Committee on Conflicts of Interest.

MONITORING AND REVIEW

10. These Procedures will be reviewed as necessary and at least every three. The Policy Advisor, or successor thereof, is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

11. Legislation 1
Legislation 2
Legislation 3

If no associated legislation use the text "This section intentionally left blank".

RELATED POLICIES, PROCEDURES & DOCUMENTS

12. Associated Document 1
Associated Document 2
Associated Document 3



Classification Number	<i>To be assigned by Policy Office</i>
Parent Policy	Code of Ethics
Framework Category	Legal, Compliance and Governance
Approving Authority	Audit and Finance Committee
Policy Owner	University Secretary and General Counsel
Approval Date	DRAFT FOR CONSULTATION
Review Date	
Supersedes	

GIFT REGISTRY PROCEDURES

PURPOSE

1. The purpose of these Procedures is to establish a process for reporting gifts received by Employees and documenting those gifts to ensure compliance with the Code of Ethical Conduct.

DEFINITIONS

2. For the purposes of these Procedures the following definitions apply:

“Employees” means individuals, including students, who are employed by the University or holding an appointment with the University including paid, unpaid and/or honorific appointments.

“Gifts” means Tangible Gifts, Hospitality, or Invitations given to Employees.

“Tangible Gift” means tangible goods given by an external party in connection with an Employee’s University responsibilities or position.

“Hospitality” means meals, accommodations, entertainment or similar given by an external party in connection with an Employee’s University responsibilities or position or major academic interests.

“Invitation” means an invitation from an external party to attend or speak at an event, workshop, conference or similar and may include of admission, registration, transportation and/or accommodation costs.

SCOPE AND AUTHORITY

3. These Procedures apply to Employees of the University.
4. The General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. Responsibilities

- 5.1. **Office of the General Counsel** is responsible for:

- a) Developing an online form for submission of Gift details and maintaining a Registry of Gifts.
- b) Providing advice to supervisors on the acceptance of gifts.
- c) Annual compliance reporting under these procedures.

5.2. Unit Supervisor is responsible for:

- a) Reviewing Gifts reported by their Employees.
- b) Determining whether Gifts are consistent with the Code of Ethical Conduct.

5.3. Employees are responsible for:

- a) Reporting Gifts received using the prescribed means.
- b) Understanding the rules regarding acceptable gifts under the Code of Ethical Conduct and seeking advice when necessary.

6. Reporting of Gifts

6.1. All Gifts received by an Employee will be reported to their immediate supervisor as soon as possible. The supervisor will determine if the gift is consistent with section XX of the Code of Ethical Conduct Policy. The supervisor will consider whether:

- a) The Gift is a University Gift that can be accepted in accordance with the Gift Acceptance Policy.
- b) The value exceeds the maximum allowable.
- c) The Employee is directly involved in transactions or other activities with the source that would give rise to a perceived Conflict of Interest.
- d) The Employee's attendance at an event would be of benefit to the University due to increased public profile, training or development of the Employee, or strengthening of institutional partnerships.
- e) The gift is consistent with Procurement Policy, related procedures and the Supply Chain Code of Ethics.
- f) Hospitality would be otherwise allowable as a business expense claim under the University's Expense Policy and Procedure.

6.2. Tangible Gifts inconsistent with section XX of the Code of Ethical Conduct Policy should not be accepted, or, if accepted, should be returned. Where returning a Tangible Gift would be considered a breach of protocol or would give offense, disposal by donation to a non-profit organization or similar should be considered.

6.3. Hospitality inconsistent with section XX should not be accepted.

6.4. A supervisor may contact legal@ontariotechu.ca for advice when making determinations based on section XX of the Code of Ethical Conduct Policy.

7. Registry of Gifts

- 7.1. The Office of the General Counsel will maintain a Registry of Gifts to track Tangible Gifts, Invitations and Hospitality received by Employees.
- 7.2. The Office of the General Counsel will create an online form for submitting information on Gifts received by Employees. The following information is required:
 - a) Value (or estimated value) of Gift
 - b) Type of Gift
 - c) Source of Gift
 - d) Date of Gift
 - e) Recipient of Gift
 - f) Unit of Recipient
 - g) Supervisor
- 7.3. Gifts should be reported to the Office of the General Counsel within a month of receipt.
- 7.4. An annual report on Gifts received will be submitted by the Office of the General Counsel to [the Audit and Finance Committee] as part of compliance reporting.

MONITORING AND REVIEW

8. These Procedures will be reviewed as necessary and at least every three years. The [insert position/committee], or successor thereof, is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

9. Legislation 1
Legislation 2
Legislation 3

If no associated legislation use the text "This section intentionally left blank".

RELATED POLICIES, PROCEDURES & DOCUMENTS

10. Code of Ethical Conduct Policy
Code of Ethical Conduct Investigation Procedure
Procurement of Goods and Services Policy and Procedure
Supply Chain Code of Ethics



Classification Number	<i>To be assigned by Policy Office</i>
Parent Policy	Code of Ethical Conduct Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	Audit and Finance
Policy Owner	General Counsel
Approval Date	DRAFT FOR CONSULTATION
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UNIVERSITY INVESTIGATION PROCEDURES

PURPOSE

1. The purpose of these Procedures is to establish a consistent process for conducting an investigation of a disclosure under the Safe Disclosure Policy or a report of a violation of the Code of Ethical Conduct Policy by a University Employee.

DEFINITIONS

2. For the purposes of these Procedures the following definitions apply:

“Appellant” means a Respondent that has submitted a notice of appeal under these Procedures.

“Conflict of Interest” means a situation where an Employee is in a position to use authority, research, knowledge or influence for personal gain, or to benefit a Related Person or external organization to the detriment of the University.

“Disclosure” means a written report made by a University Member under the Safe Disclosure Policy concerning any actual or perceived Improper Activity where the report is:

- Made to a University Recipient;
- Based on a reasonable belief or information that the Improper Activity has occurred, or could potentially occur; and
- Not malicious, frivolous, vexatious and/or knowingly false.

“Employees” means individuals, including students, who are employed by the University or holding an appointment with the University including paid, unpaid and/or honorific appointments.

Commented [NO1]: Students may also have consequences under student conduct

“Report” means a written report made by a University Member under this Procedure concerning any actual or perceived Improper Activity where the report is:

- Made to a University Recipient;
- Based on a reasonable belief or information that the violation has occurred, or could potentially occur; and
- Not malicious, frivolous, vexatious and/or knowingly false.

“Improper Activity” means an act of misconduct that a University Member knew or should reasonably have known to be wrong or inappropriate. Improper Activity includes, but is not limited to:

- Significant financial misconduct or mismanagement;

- Theft, fraud, and/or misappropriation of University assets;
- Significant contravention of University policies and procedures;
- Violation of the University's legal or regulatory obligations;
- Forgery, falsification, and/or inappropriate alteration or destruction of University records (paper and electronic);
- Making a disclosure that is not in Good Faith.
- The act of concealing, or attempting to conceal, Improper Activity, and/or knowingly directing or assisting in the commission or concealment of Improper Activity, will also be considered a form of Improper Activity under this Policy.

"Innocent Violation" means an Improper Activity that is inadvertent or where the University Member could not reasonably be expected to have known the Improper Activity is a form of misconduct.

"Investigator" means an individual appointed to investigate by a Designated Decision-Maker.

"Personal Information" means information about an identifiable individual, as defined in s. 2 of FIPPA, as amended from time to time.

"Reprisal" refers to a retaliation, coercion, dismissal, threats or intimidation of anyone who in good faith: submits a Report, or participates in a related investigation under this procedure.

"Reporting Party" means a University Member who makes a Report.

"Respondent" means an Employee named as a subject of a Report.

"University Recipient" means the:

- Appropriate supervisor or manager;
- Organizational Area Vice-President, where the disclosure may implicate the appropriate supervisor or manager.

SCOPE AND AUTHORITY

3. These Procedures apply to all Employees of the University.
4. Under the Policy Framework, where there is a conflict between these Procedures and an existing collective agreement between the University and one of its bargaining units, the collective agreement will prevail.
5. Reports of conduct that would constitute harassment, violence, sexual violence, or discrimination will be investigated and addressed under the Policy Against Harassment, Violence and Discrimination in the Workplace or the Harassment and Discrimination Policy, as applicable.
6. The University Secretary and General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

RECEIVING REPORTS OF VIOLATIONS OF THE CODE OF ETHICAL CONDUCT POLICY

7. Making a Report

- 7.1.** Any individual who has evidence of a violation of the Code of Ethical Conduct Policy may make a Report to a University Recipient. Where the violation involves the President or an organizational area Vice-President, the Report should be submitted in accordance with the Safe Disclosure Policy and Procedure.
- 7.2.** A Report will be provided in writing, signed, and will include a brief summary of the evidence or basis for the belief that a violation has occurred, as well as the names of the University Members involved.
- 7.3.** Reports may be submitted anonymously noting that the ability to investigate or address a Report may be hindered by a Complainant remaining anonymous.

8. Receiving a Report

- 8.1.** Upon receipt of a Report, a University Recipient will forward it to the appropriate organizational area Vice-President. The Vice-President will determine, in consultation with others as necessary, whether the allegation, if true, would constitute a violation of the Code of Ethical Conduct Policy.
- 8.2.** If the allegation set out in the Report would not, if true, amount to a violation, the Vice-President will respond to the Reporting Party in writing, usually within 60 days, advising that the Report has been reviewed, and that the information provided does not support an allegation of a violation of the Code of Ethical Conduct Policy.
- 8.3.** The Reporting Party will also be advised that the Vice-President may reconsider the Report if additional and significant information is provided. If there is another process or resource at the University that would be more appropriate for the subject matter of the Report, the Reporting Party will be advised of this alternative process.

9. Decision to Proceed with an Investigation

- 9.1.** In cases where a Report would, if true, constitute a violation of the Code of Ethical Conduct Policy, the Vice-President will decide whether to proceed with a formal investigation, or to attempt an informal resolution. Where the alleged conduct is serious, where there are indications of a repeated course of conduct, or where the alleged conduct is considered Improper Activity, an informal resolution is not appropriate.
- 9.2.** If a University Recipient decides to proceed with an investigation, they will consult with the Senior Dispute Resolution Officer and Human Rights Advisor in the Office of the University Secretary and General Counsel who will appoint an Investigator.

CONDUCTING AN INVESTIGATION UNDER THE CODE OF ETHICAL CONDUCT POLICY AND THE SAFE DISCLOSURE POLICY

10. Investigation Process

- 10.1.** Under no circumstances will an investigation be conducted or overseen by an individual who was directly involved in the events in issue, or by an individual whose involvement would give rise to a Conflict of Interest or a perception of a Conflict of Interest. No individual who was involved in or who has a personal stake in the events in issue will be involved in an investigation (other than as a witness).
- 10.2.** In addressing a Report, the Investigator will establish an investigation process that is appropriate in the circumstances and that maintains the procedural rights granted in collective agreements to any individuals involved in the Report. This process will be summarized in written form and distributed to the Respondent. At a minimum, any investigation will provide a reasonable opportunity for the parties to understand the allegations, and to submit relevant information.

11. Determination and Corrective Action

- 11.1.** The Investigator will be charged with providing an opinion, based upon a review of the totality of the evidence (including the Respondent's evidence and submissions), whether misconduct occurred and whether the misconduct is considered Improper Activity or an Innocent Violation, based on a balance of probabilities. The Investigator will ensure that the results of the investigation are brought to the attention of, and reviewed by, the Vice-President.
- 11.2.** Human Resources will advise the Vice-President with respect to appropriate corrective measures, if any, to be taken, including measures aimed at preventing Reprisal, where appropriate. Corrective measures may include non-disciplinary actions (e.g. education) or disciplinary measures (e.g. a written reprimand, a suspension or termination).
- 11.3.** The final determination regarding the outcome of the investigation and the recommended corrective actions will be made by the Vice-President, or in the case of a Disclosure, in accordance with section 7.4 of the Safe Disclosure Procedure.
- 11.4.** Employees that are members of a bargaining unit will have any corrective measure(s) imposed in accordance with applicable collective agreement requirements.
- 11.5.** Once a decision has been reached, the Vice-President will notify the Respondent, in writing, of its decision, including reasons (if any) and recommendations (if any) with respect to the violation. The written decision will clearly indicate any corrective measures.
- 11.6.** The investigation and review process will be conducted expeditiously. All reasonable attempts will be made to protect the privacy of the Reporting Party and Respondent at all material times during and after the review process.

12. Confidentiality

- 12.1.** Information collected under this Procedure will be used only for the purposes of administering this Procedure and related processes, and may be disclosed only on a

need-to-know basis to the extent required to fulfill the University's legal obligations. Personal Information collected, used and disclosed under this procedure will otherwise be kept confidential.

- 12.2.** All individuals involved in this Procedure will be advised of their duty to maintain the confidentiality of all information disclosed to them in this Procedure, including any Personal Information disclosed to them.
- 12.3.** Except as required under these procedures, or as otherwise required by law, investigation reports created under this procedure will not normally be disclosed or produced to a Reporting Party, Respondent or witness. Reporting Parties, and Respondents who are Employees, will, however, be advised of the outcome of the investigation, and the corrective actions if any.

13. Right to an Advisor/Support Person

- 13.1.** Respondents who attend an interview in an investigation under this procedure may be accompanied by one advisor/support person. The role of an advisor/support person is to assist the individual by providing procedural information, to ask questions regarding the investigation process and to provide moral support. Individuals who choose to attend an interview with an advisor/support persons will choose their own advisor/support person and will notify the Investigator of their advisor/support person's name at least 24 hours prior to the interview. In the case of an Employee who is a member of a bargaining unit, the advisor/support person may be a union representative. During the interview, an advisor/support person will be permitted to speak and ask questions regarding the investigation process, but will not be permitted to make legal submissions or arguments on behalf of the individual, or to disrupt the interview. In any event, individuals who are being interviewed must answer the interview questions themselves.

14. Appeal

- 14.1.** The Respondent has a right to appeal the decision and/or disciplinary penalties imposed by the Vice-President under one or both of the following grounds:
 - a)** New evidence exists that was not available to the Respondent at the time of the original decision (through no fault of their own) that, if considered would likely have altered the outcome of the decision; or
 - b)** There was a fundamental flaw in the investigation or decision-making procedures that led to the decision, resulting in a lack of Administrative Fairness.
- 14.2.** A notice of Appeal must be submitted in writing, and must set out the specific grounds on which the appeal is being made and provide a summary of evidence in support of these grounds to the Senior Dispute Resolution Officer and Human Rights Advisor in the Office of the University Secretary and General Counsel within ten (10) Working Days of the date of the Decision.
- 14.3.** The Senior Dispute Resolution Officer and Human Rights Advisor will appoint an Appeal Officer to conduct the appeal.

- 14.4.** If, after considering the written submissions, the Appeal Officer finds that the case does not meet the grounds for appeal set out in Section XX, the Appeal Officer will dismiss the Appeal or Review within five (5) Working Days of receipt of the Appeal. Otherwise an appeal hearing will be conducted.

15. Appeal Hearing

- 15.1.** Appeal hearings will normally be conducted in writing as follows:

- a) The Appeal Officer will provide a copy of the notice of appeal and any new supporting evidence to the Vice-President, or delegate.
- b) The Vice-President, or delegate will have ten (10) Working Days to provide the Appeal Officer with a written response to the Appeal. A copy of the written response will be provided to the Appellant.
- c) The Appellant will have ten (10) Working Days to provide the Appeal Officer with a final written response. A copy of this response will be provided to the Vice-President, or delegate.
- d) The Appeal Officer will normally issue a written decision to the Appellant and the Vice-President, or delegate within ten (10) Working Days of their receipt of the Appellant's final written response. The decision will provide the reasons in support of the decision.

- 15.2.** The time limits specified under these procedures may be extended by the Appeal Officer at the request of the Appellant or the Vice-President, or delegate, if reasonable grounds are shown for the extension.

16. Protection from Reprisal

- 16.1.** Any Reprisal for making and pursuing a Report under this Procedure is itself considered a breach of the Code of Ethical Conduct Policy. Any individual experiencing Reprisal may file a Report, and that Report will be processed under this procedure.

MONITORING AND REVIEW

- 17.** These Procedures will be reviewed as necessary and at least every three years. The University Secretary and General Counsel, or successor thereof, is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

- 18.** Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c F. 31

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 19.** Code of Ethical Conduct Policy
Harassment and Discrimination Policy and Procedures

Policy Against Violence, Harassment and Discrimination in the Workplace, and related procedures

Fair Processes Policy

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