OntarioTech UNIVERSITY

BOARD OF GOVERNORS
Audit & Finance Committee

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Wednesday, April 15, 2020
2:00 p.m. to 4:00 p.m.
Videoconference Only
PUBLIC SESSION: +1.888.240.2560 (US Toll Free)   Meeting ID: 218 811 277

Members: Nigel Allen (Chair), Doug Allingham, Stephanie Chow, Dale MacMillan, Steven Murphy, Dietmar Reiner

Staff: Becky Dinwoodie, Cheryl Foy, Andrew Gallagher, Lori Livingston, Brad MacIsaac, Pamela Onsiong

AGENDA

No.	Topic	Lead	Allocated Time	Suggested Start Time
	PUBLIC SESSION			
1	**Call to Order**	Chair		
2	**Agenda (M)**	Chair		
3	**Conflict of Interest Declaration**	Chair		
4	**Chair's Remarks**	Chair		
5	**President's Remarks**	Steven Murphy	10	2:05 p.m.
5.1	Pandemic Update – Federal & Provincial Financial Initiatives & Community Initiatives	Steven Murphy, Lori Livingston & Cheryl Foy	20	2:15 p.m.
6	**Finance**			
6.1	2020-2021 Budget* (U)(P)	Andy Gallagher & Lori Livingston	30	2:35 p.m.
7	**Project Updates**	Brad MacIsaac	10	3:05 p.m.
7.1	New Building* (U)			
7.2	ACE Enhancement* (U)			
8	**Compliance & Policy**			
8.1	Policy, Compliance & Risk Report* (U)	Cheryl Foy	10	3:15 p.m.
9	**Consent Agenda (M):**	Chair	5	3:25 p.m.
9.1	Minutes of Public Session of Meeting of February 19, 2020*			
9.2	Technology Use Policy*			

D – Discussion   M – Motion   P – Presentation   U – Update   * Documents attached

No.	Topic	Lead	Allocated Time	Suggested Start Time
10	**For Information:**	Chair		
10.1	AVIN Update*			
11	**Other Business**	Chair		
12	**Adjournment (M)**	Chair		3:30 p.m.
	BREAK			
	NON-PUBLIC SESSION (material not publicly available) – governors to connect with non-public video conference details			
13	**Call to Order**	Chair		
14	**Conflict of Interest Declaration**	Chair		
15	**President's Remarks**	Steven Murphy		
	• Confidential Budget Items*	Andy Gallagher & Lori Livingston		
16	**Consent Agenda (M):**	Chair		
16.1	Minutes of Non-Public Session of Meeting of February 19, 2020*			
17	**Other Business**			
18	***In Camera* Session (M)**			
19	**Termination (M)**			4:00 p.m.

Becky Dinwoodie, Secretary

2020-21 Draft Operating Budget:

Audit & Finance Committee Update

April 17, 2020

Andrew Gallagher, Interim Chief Financial Officer
Lori Livingston, Provost and Vice-President, Academic

Assumptions Update

➤ Since the Committee last met, progress was made towards **balancing the operating budget over a three year period**

➤ In light of **flat tuition revenue, frozen government grant funding** and a ramp-up period required to **increase international enrolment,** the working budget reflected modest operating deficits over the next two years before being fully balanced in 2022-23 (see Appendix)

➤ By March 13th, 2020 the **COVID-19 pandemic** necessitated the effective closure of most of the University's physical operations, with the focus shifting to online program delivery and remote working for substantially all faculty and staff.

➤ **Stay at home orders** are assumed to persist through much of the next six months resulting in limited opportunities for student summer employment

➤ Similarly, available **parental supports** may be reduced and government programs insufficient for many students

➤ **Travel** for faculty and students will remain restricted for the foreseeable future

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Assumptions Update (cont'd)

➢ A **decrease in enrolment** in the near term is now expected. Initial assessment on new students suggests a **decrease in tuition revenues** in the $3M range on 2020-21

➢ A more pessimistic scenario analyses suggest a decrease in Ontario Tech revenues could be in the range of **$10M to $22M** in 2020-21 alone (See Appendix)

➢ In the past few weeks, it has become evident that the **short- to mid-term operating environment** will dramatically change how we operate

➢ However, our early experience also provides confidence that in the **medium- to longer-term, Ontario Tech** can be well positioned to **emerge as a leader** in the new paradigm of higher education delivery

➢ In the pages following, we discuss the significant challenges we face over the next year to **18 months,** as well as outline the initial thinking of how we can gain strategic advantage as we come out of the pandemic crisis

Operational Response: Short-Term Impact

➤ An initial impact assessment suggests Ontario Tech faces a **sizeable deficit in the short to medium term** – $3M in 2020-21 and $11.2M cumulatively in the next three years

➤ Cash utilization increases, requiring the use of our operating line of credit through 2020-21 and **permanent financing for our new building** by early 2021-22, with an additional funding need of $8M over the mid-term

➤ Establishing the traditional $2.5M **building reserves** is no longer feasible for the next 3 years

➤ **Travel budgets** have been cut by 75% and there is an aggressive review of all other discretionary and non-essential costs underway

➤ All **replacement positions** will be subject to senior leadership review and new hiring requests will be limited to strategic initiatives only

➤ Faculty and staff support functions are under review and programs to **reduce costs** are being developed

3-Year Forecast: March 2020 (travel ban)

	Year 1: 2020-21	Year 2: 2021-22	Year 3: 2022-23
	$ 000's	$ 000's	$ 000's
REVENUES			
Operating grants	57,776	57,952	58,006
Debenture and other grants	23,201	22,749	22,749
Student Tuition Fees	74,122	79,926	90,642
Student Ancillary Fees	11,972	12,347	13,201
Other Revenues	18,527	18,995	19,450
Total Operating Revenues	$ 185,599	$ 191,969	$ 204,048
EXPENDITURES			
Base Expenditures			
FT Labour	(105,510)	(109,408)	(113,188)
PT Labour	(16,583)	(17,092)	(18,338)
Operating Expenses	(66,080)	(67,010)	(67,943)
Capital Expenses	(345)	(345)	(345)
Approved Base Expenditures	$ (188,518)	$ (193,855)	$ (199,814)
Budget Surplus/(Deficit)	$ (2,920)	$ (1,887)	$ 4,234
Other Items			
Capital - IT, Facilities	(3,359)	(3,550)	(4,311)
Capital and contingency reserves	(1,000)	(1,000)	(1,000)
Loan - principal and interest repayments		(1,810)	(1,810)
Net savings from faculty attrition	2,294	1,500	1,500
MGP capital			
Replacement positions not filled	1,350		
Travel reduction	550		
Net Surplus/(Deficit)	$ (3,085)	$ (6,747)	$ (1,386)
Cumulative Surplus/(Deficit)	$ (3,085)	$ (9,832)	$ (11,218)

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Cash Flow Requirements: March 2020 (travel ban)

Reflects enrolment of 8,067 domestic and 993 international FTE by 2023. Total decrease of 532 and 322 FTE respectively over the 3-year period

$8k derived from other sources to be pursued

	20/21 $ 000's	21/22 $ 000's	22/23 $ 000's	Total $ 000's
Beginning Bank Balance	7,411	(1,578)	12,758	7,411
Operating deficit	(3,085)	(6,747)	(1,386)	(11,218)
Capital Projects				
New Building	(22,650)	(13,402)	(61)	(36,113)
CRWC reserve capital projects	(2,000)			(2,000)
MGP Costs	(2,034)			(2,034)
	(26,684)	(13,402)	(61)	(40,147)
Total cash required	(29,769)	(20,149)	(1,447)	(51,365)
Cash Sources				
USU contribution	3,225	1,225	550	5,000
Short term investments	17,285			17,285
Donation	270	260	260	790
Building loan		25,000		25,000
Advancement				-
CARE Funding				-
Other funding sources or cost savings		8,000		8,000
	20,780	34,485	810	56,075
Ending Bank Balance	(1,578)	12,758	12,121	12,121

Strategic Response: Surviving the Short-Term

Commence capital financing discussions for the new building $25M
  - Advocate for access to CARIE funds (propose $15M apply to A5)
  - Advocate for debenture restructuring ($3M per year)

Retain current students
  - Move to summer courses being online and review fall term start and course delivery options (e.g., online offerings, compressed course structures, asynchronous self directed learning)
  - Alter fee due date procedures to enable payment plans
  - Student Success program to start Fall 2020

Attract new students
  - Increase our international pathway partnerships
  - English for Academic Purposes (EAP) I and II online in fall
  - Launch Ontario Tech Talent

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Strategic Response: Positioning for the Future

➤ **Organization and process redesign for course delivery (Learning Re-imagined, Tech with a Conscience)**

   ➤ Leverage our "tech" advantage and nimbleness

   ➤ "Hybrid" format for all degree programs

   ➤ Commit to growing our virtual assets in all that we do

➤ **Assess our existing "brick and mortar" capital assets (Sticky Campus)**

   ➤ Reduce building lease commitments (e.g., 11 Simcoe, St. Gregory's)

   ➤ Assess our existing spaces, redefine how we use space

➤ **Post-pandemic strategy for new programs, research priorities (Partnerships)**

   ➤ Leverage our expertise, public interest in new programs, research priorities

   ➤ Continue to increase international student enrolments, partnerships

   ➤ Move all levels of English for Academic Purposes (EAP) online

   ➤ Expand Ontario Tech Talent

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Appendix

➤ Key February 2020 (visa closed) Budget Assumptions

➤ 3-Year Forecast – February 2020 (visa closed)

➤ Cash Flow Requirements – February 2020 (visa closed)

➤ New Building Capital Structure

➤ Tuition Revenue Growth – February 2020 (visa closed) Strategy

➤ Enrolment Scenario Planning

➤ Timeline Revenue Progression

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Key February 2020 (visa closed) Budget Assumptions

1. **Enrolment**
   - FTE decrease of 216 or 2% to 8,797 (8,042 DOM, 755 INT) and within Ministry approved corridor
   - (Projected 9,383 FTE by 22/23 - 8,310 DOM, 1,073 INT)

2. **Government Grants**
   - Set at the 16/17 level as per new funding formula, except for growth in collaborative nursing grant

3. **Tuition**
   - Domestic tuition frozen for 20/21 (and 2% increase / year thereafter)
   - International average tuition increases 6% for 20/21, (and 3% increase / year thereafter)

4. **Salary estimates are based on current and planned contracts, as well as the non-union compensation plan**

5. **The strategic target set for Student/Faculty ratio is 31:1**
   - 20/21 budget is at 28:1 due to decrease in FTE (projected 31:1 by 22/23)

6. **Operating budget includes $1.0M of operational contingency reserves**

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3-Year Forecast: February 2020 (visa closed)

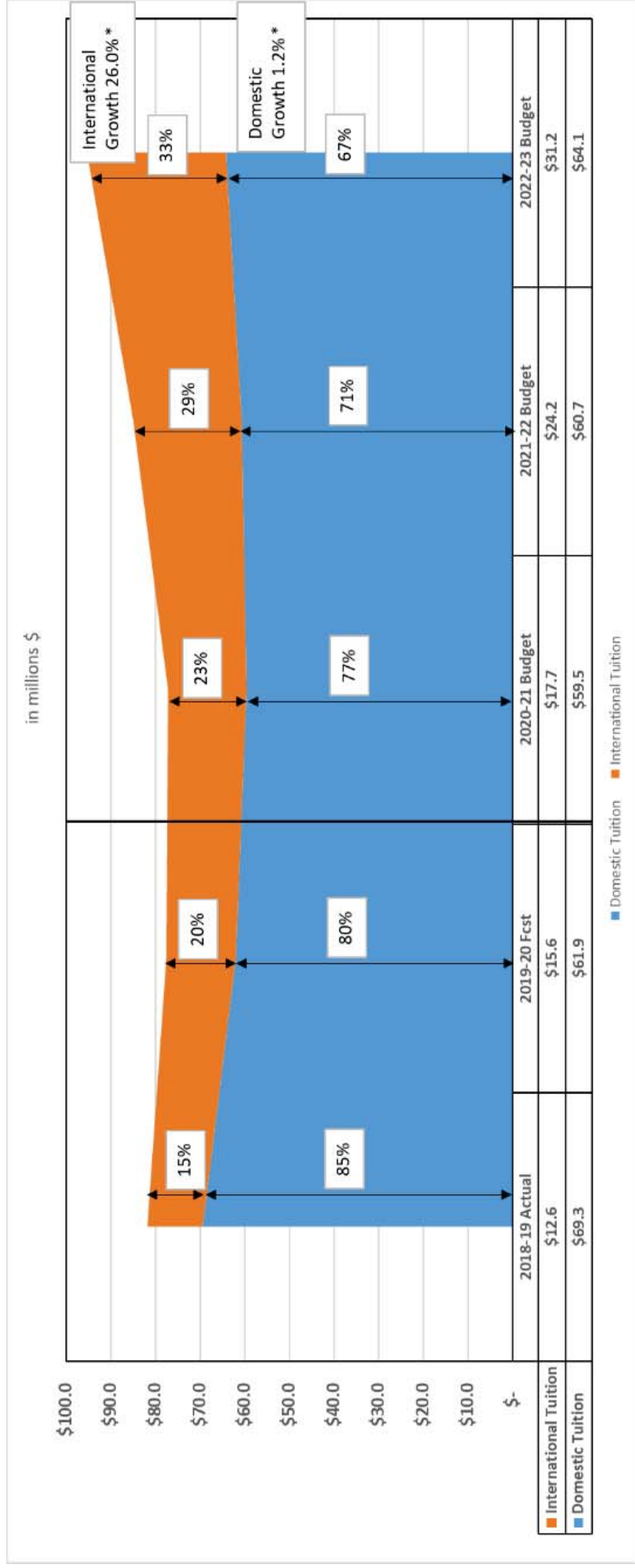|	Year 1: 2020-21	Year 2: 2021-22	Year 3: 2022-23
	$ 000's	$ 000's	$ 000's
REVENUES			
Operating grants	57,740	57,703	57,879
Debenture and other grants	23,201	22,749	22,749
Student Tuition Fees	77,202	84,949	95,258
Student Ancillary Fees	11,972	12,489	13,338
Other Revenues	18,527	18,995	19,452
Total Operating Revenues	$ 188,643	$ 196,885	$ 208,675
EXPENDITURES			
Base Expenditures			
FT Labour	(105,516)	(109,635)	(113,416)
PT Labour	(16,725)	(17,363)	(18,587)
Operating Expenses	(66,080)	(66,952)	(68,043)
Capital Expenses	(345)	(345)	(345)
Approved Base Expenditures	$ (188,667)	$ (194,296)	$ (200,390)
Budget Surplus/ (Deficit)	$ (24)	$ 2,589	$ 8,285
Other Items			
Capital - IT, Facilities	(3,359)	(3,550)	(4,311)
Capital and contingency reserves	(1,000)	(1,000)	(1,000)
Loan - principal and interest repayments		(1,810)	(1,810)
Net savings from faculty attrition	2,294	1,500	1,500
MGP capital	1,350		
Replacement positions not filled	550		
Travel reduction			
Net Surplus / (Deficit)	$ (189)	$ (2,271)	$ 2,665
Cumulative Surplus / (Deficit)	$ (189)	$ (2,460)	$ 205

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Cash Flow Requirements – February 2020 (visa closed)

Reflects enrolment of 8,310 domestic and 1,073 international FTE by 2023

Other funding sources to be pursued

	20/21 $000's	21/22 $000's	22/23 $000's	Total $000's
Beginning Bank Balance	7,411	1,318	12,130	7,411
Operating surplus (deficit)	(189)	(2,271)	2,665	205
Capital Projects				
New Building	(22,650)	(13,402)	(61)	(35,113)
CRWC reserve capital projects	(2,000)			(2,000)
MGP Costs	(2,034)			(2,034)
	(26,684)	(13,402)	(61)	(40,147)
Total cash required	(26,873)	(15,673)	2,604	(39,942)
Cash Sources				
USU contribution	3,225	1,225	550	5,000
Short term investments	17,285			17,285
Donation	270	260	260	790
Building loan		25,000		25,000
Advancement				-
CARIE Funding				-
Other funding sources or cost savings				-
	20,780	26,485	810	48,075
Ending Bank Balance	1,318	12,130	15,544	15,544

New Building Capital Structure

	$ 000's
Estimated building cost at completion	48,000
Contingency for Pandemic related overruns	2,000
Total Cost	$50,000
Funding	
Student Union contribution	5,000
Other Donations	1,000
Internal cash and short-term Investments*	19,000
Required bank financing	25,000
	$50,000

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Tuition Revenue Growth – February 2020 (visa closed)

in millions $

	2018-19 Actual	2019-20 Fcst	2020-21 Budget	2021-22 Budget	2022-23 Budget
International Tuition	$12.6	$15.6	$17.7	$24.2	$31.2
Domestic Tuition	$69.3	$61.9	$59.5	$60.7	$64.1

International Growth 26.0% *

Domestic Growth 1.2% *

15%   20%   23%   29%   33%

85%   80%   77%   71%   67%

■ Domestic Tuition   ■ International Tuition

*Compounded Annual Growth Rate

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Enrolment Scenario Planning

The budget working group has been doing pandemic scenario planning centered around return to school start dates and the potential impact on tuition revenues under various assumptions. Using these assumptions and applying them to pre-pandemic planned enrolment figures, the impact on planned Tuition Revenue is shown on the table opposite.

SCENARIOS
Decrease vs. Plan

		March 2020 (travel ban)	April Scenario Analysis A	B	C
Intake	Domestic	-5%	-10%	-15%	-20%
	International	-40%	-50%	-75%	-100%
Continuing	Domestic	0%	-5%	-10%	-15%
	International	0%	-15%	-25%	-35%

ENROLMENT IMPACT (FTE)
Projected Decrease vs. Plan

		March 2020 (travel ban)	April Scenario Analysis A	B	C
Intake	Domestic	(100)	(285)	(425)	(560)
	International	(125)	(160)	(235)	(305)
Continuing	Domestic		(350)	(670)	(990)
	International		(90)	(140)	(195)

TUITION REVENUE IMPACT (in M$)
Projected Decrease vs. Plan

		March 2020 (travel ban)	April Scenario Analysis A	B	C
Intake	Domestic	(1.0)	(1.6)	(2.5)	(3.3)
	International	(2.0)	(3.7)	(5.5)	(7.2)
Continuing	Domestic	-	(2.4)	(4.6)	(6.8)
	International	-	(1.9)	(3.0)	(4.2)
Total Revenue Impact		$ (3.0)	$ (9.6)	$ (15.6)	$ (21.5)
Planned 2020-21 Tuition Revenue		77.2			
% Decrease vs. Plan		-4%	-12%	-20%	-28%

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Timeline Revenue Progression

Timeline

| November 2019 | January 2020 (agents closed) | February 2020 (visa closed) | March 2020 (travel ban) | April 2020 Scenario Ranges |

$193.0

$190.4

$188.6

$185.6

$179.0 ↔ $167.1

Revenue Progression

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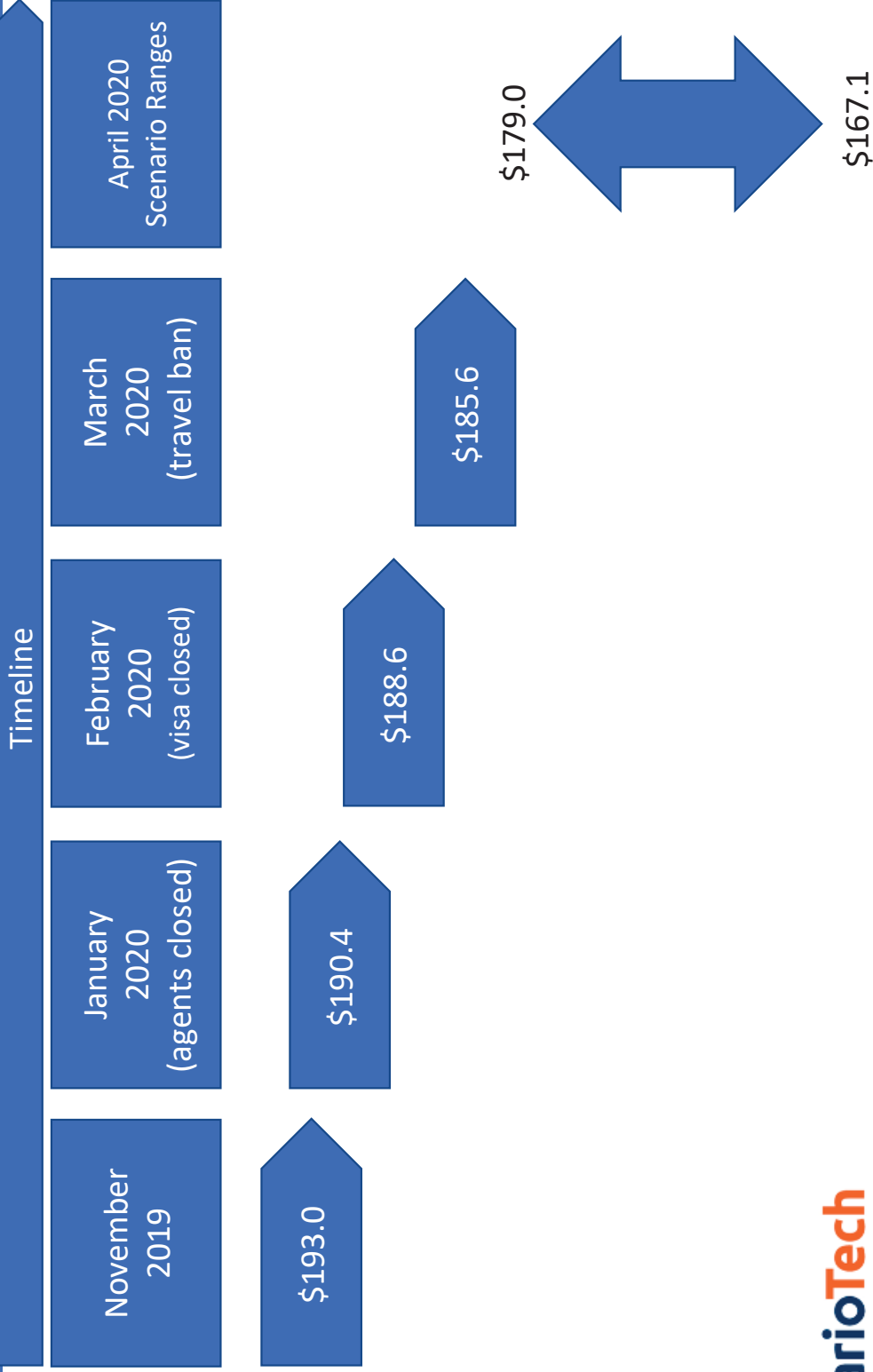
New Building Project

Monthly Project Update
MARCH 2020

New Building Update

- Lower level slab on grade completed
- Lower level columns & walls completed
- 1st floor slab concreted
- Waterproofing and foundation drain completed
- 1st floor columns and walls forming on going
- 2nd floor slab forming on going
- Backfilling works on going
- Construction dewatering terminated
- Sub trades procurement on-going
- Project Submittals and RFI on going

New Building Update

Photo taken 31 March 2020

Underside of completed section of Level 1 showing formwork stripped and temporary shoring in place. Column capital also in view.

View of mechanical room, looking east, with early delivery mechanical equipment covered

photo taken from north-west corner of site. View facing south

View of section of level 1 awaiting pour. Future enhanced classroom in foreground. View facing north

New Building Update

Photo taken 3 April 2020

COVID-19

STOP
THIS SITE IS UNDER A
PANDEMIC RESPONSE PLAN
DO NOT ENTER SITE IF
YOU ANSWER YES TO ANY
OF THE FOLLOWING:
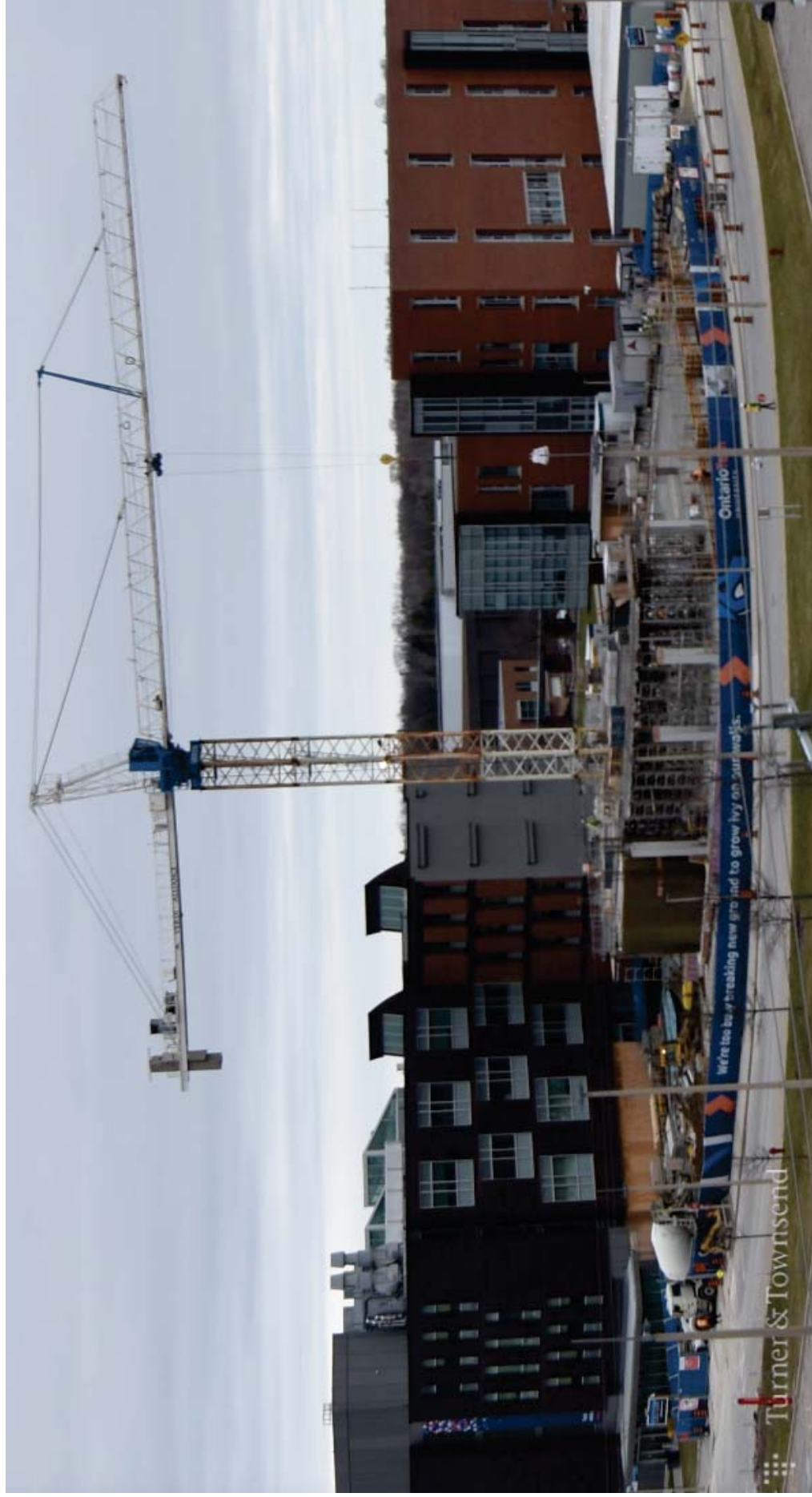
- COVID-19 site preparedness and prevention plan implemented on site

- Field inspection protocol enforced on site

- Contractor notified potential delays due to pandemic

- Net Electric team isolate for 2 days until COVID-19 test result negative

- AGF rebar worker abstain for 2 days work until test result negative

- A5 expected to be impacted with the reduced productivity on site

- On April 3, Government directed to close non-essential construction effective April 4, 2020 for 14 days, with possibility to extent.

Action items:

- Monday, construction team will shutoff utilities supply, lockdown trailer offices & gates, remove & secure safety hazard materials/tools, shutdown tower crane and monitor site through security camera and visual inspection by site superintendent.

- Review on project implication with legal, risk and sponsors

Close out Process

- Fencing & Gate – 6' high fencing and lock gates
- Tower crane – will be secured and shut off
- Materials – will be secured safely
- Access – Lockbox at North gate in the event of emergency entry
- Security – monitored through video surveillance
- Instruments – locked in job box within site and trailer
- Natural gas feed – shut off from inside tunnel & within site
- For concrete curing - gas valves will be monitored by staff and closed when no longer required
- Power – Temporary sea-can remained locked as always.
- Water – shut off from tunnel
- Sump pump – staff will visit daily to confirm operations
- Site staff will visit daily to ensure safety and security of site
- Any work to keep the site safe will be completed & secure

Risk Reporting

- Subsoil condition risk event now closed with dewatering terminated
- Total four risk events closed with 2 from 9nos. scaled medium risk
- One high risk event added which is COVID-19

Project Name A5 New Building PROJECT RISK REGISTER Updated: 2020 Mar 27

Risk ID	Date Raised	Risk Graphic	Risk Description			Risk Analysis			Risk Response			Risk Monitoring
			Risk Event	Event Cause	Event Effect / Impact	Probability	Risk Score		Existing Controls / Mitigation	Responsible Parties	Completion Date	Status / Comments
PR08			Unsuitable Sub-Surface Site Condition	unexpected environment, archeological, soil condition	Building foundation type will change and will slowdown progress	3	2.6	7.8	The Existing Geotechnical report shows low soil bearing capacity at the southwest corner of New Build Additional Borehole required for structural consideration	DB contractor / Structural Consultant	2020 Feb 28	2 Boreholes conducted October 2018 and Structural implication captured in GMP budget - completed Ground water was identified in the latest report Additional 4 Boreholes drilled 11 July 2019 – confirmed shallow ground water Excavation on 2019.07.12 at subgrade 150m ASL shows water Hydro analysis conducted and confirmed dewatering required Dewatering started on Sep 24 2019 Ground Water impacted 3 months construction delay 2020.03.23 Dewatering terminated
PR31			Pandemic COVID-19 Impact to Schedule	Manpower decrease Slow site progress Material & Equipment delay fabrication & delivery	Project Completion delay	5	2.7	13.5	Government compliance to prevent the spread of COVID-19 Continue site work progress with 6 ft distancing	Project Sponsor	2020 Jun 30	2020.03.26 No manpower decrease but slow production

Site Safety:

- Refer COVID-19 slide

Change Orders:

- Nothing to report

Procurement Summary:

- Ceramic Tile awarded to Terrazzo Mosaic & Tile Co. Ltd. at $141.6K
- Epoxy Flooring awarded to BNE Contracting at $176K
- Carpet, Resilient flooring awarded to Kent-Leckie Flooring Ltd at $212K
- Painting, Louvers, Washroom accessories, Sealant/Firestop bid packages under evaluation
- 28 out of 41 sub-trades work packages awarded with $576K savings to date

Financial Summary:

- Total committed amount to date $44.3M
- Total project expense to date $10.4M
- Breakdown of Sources and Uses of funds next slide

A&F Roll up Financial Summary as of 3

April 2020

Sources of Funds - Cash flow

Description	Total Funding	Committed Todate	Actual YTD Mar 2020	Mar 2020	Required Funding till Completion	See Notes
Ontario Tech			$ -	$	$ -	
SIF			$ -	$	$ -	
Advancement			$ -	$	$ -	
Totals	$ -	$ -	$ -	$ -	$ 48,000,000	

Uses of Funds - Cash flow

Description	Total Budget	Committed Todate	Actual YTD Mar 2020	Mar 2020	Estimate at Completion	See Notes
GMP Contract	$ 39,996,403	$ 40,151,518	$ 7,548,409	$ 1,271,692	$ 40,151,518	1
FF&E	$ 3,246,505	$ -	$ -	$ -	$ 3,246,505	
Soft Cost	$ 1,940,732	$ 1,548,959	$ 956,502	$ 19,623	$ 1,802,735	
Portable Relocation	$ 1,738,512	$ 1,881,614	$ 1,593,433	$ -	$ 2,345,676	2
New Parking (50% sharing)	$ 327,848	$ 327,848	$ 316,815	$ (316,815)	$ 316,815	3 **
Contingencies	$ 750,000	$ 358,102.70	$ 202,988	$ -	$ 136,751.66	4
Totals	$ 48,000,000	$ 44,268,042	$ 10,415,158	$ 974,501	$ 48,000,000	

Notes:

1. Estimate at completion impacted by dewatering
2. Increased by U5 changes and the 2021 forecast U5 demolition cost
3. Construction cost for the F5 parking lot extension is equally shared with the College
4. To date available amount from contingency (391K$ was allocated for U5 removal)

** DC was invoiced for the 50% share

ACE Enhancement Project
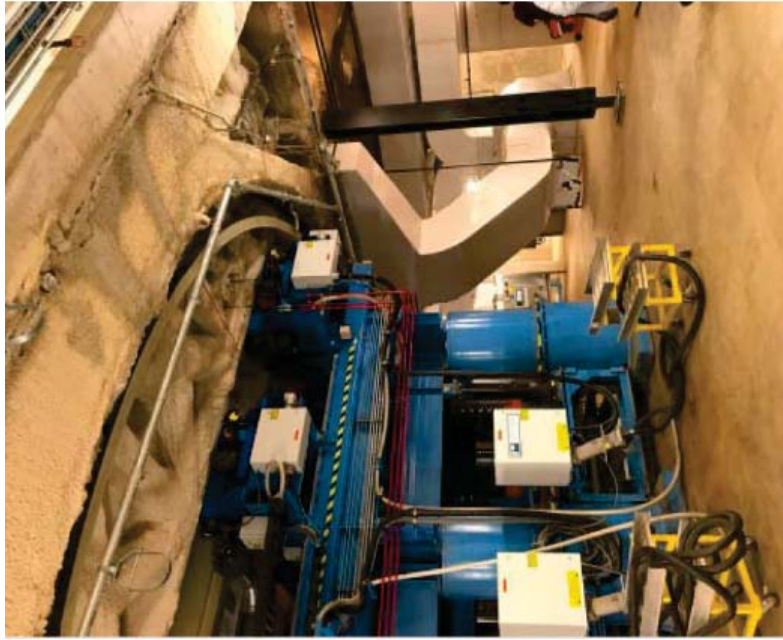
Monthly Project Update
MARCH 2020

Progress Update (3 April 2020) :

Moving Ground Plane (MGP) Integration into CWT

- MGP controls fabrication on going
- New belt delivered to MTS yard
- Resonator fabrication on going
- Adjustable collector fabrication on going
- CWT boundary layer steel & duct fabrication on going
- CWT Acoustic wall treatment material hold in Germany
- Cooling tower fabrication on going
- Electrical & process bid package rescope and re-issue for bid
- 5th floor client office renovation on going

COVID-19

- ACE Facility was closed and operation paused from 25 March till 13 April
- MGP Integration installation works put on hold
- Fifth floor renovation works on hold
- Acoustic material from Germany on hold
- MGP existing belt assessment on hold

- On April 3, the government is ordering all businesses not covered by the updated Emergency Order to close effective as of Saturday, April 4, 2020 for 14 days, with the possibility of an extension as the situation evolves.

Last month forecast, Physical works will be completed by July 2020 (4 months behind original schedule) while integrated commissioning still on track, thus overall completion by 30 September 2020 is achievable.

With COVID-19 Project is anticipated to be further delayed.
Forecast completion will be assessed once a HOLD directive is removed.

Site Safety:

- Nothing to report – no incident this period

Change Orders:

- Nothing to report this period

Procurement Summary:

- Electrical & process piping bid package re-scope and re-issue for bid

Financial Summary:

- Total FedDev funding received to date $7.676M
- Total Funding received to date $9.077M
- Total Actual Cash Flow to date $8.73M
- Committed Funding to date $12.565M
- Forecast project cost at completion $14.86M
- Cash flow Breakdown of Sources and Uses of funds next slide.

A&F Roll up Financial Report as of 3 April 2020

ACE ENHANCEMENT PROJECT	MARCH 2020				
Sources of Funds - Cash Flow					
Description	Total Funding	Actual Total Todate	Mar 2020	Estimate at Completion	See Notes
FEDDEV	$ 9,465,000	$ 7,676,936		$ 9,465,000	
PROVINCIAL	$ 1,500,000	$ 1,350,000		$ 1,500,000	
MAGNA	$ 1,000,000	$ -		$ 1,000,000	
THE GREENBRIAR FOUNDATION	$ -	$ 50,000		$ 50,000	1
ONTARIO TECH	$ 500,000	$ -		$ 500,000	
Totals	$ 12,465,000	$ 9,076,936	$ -	$ 12,515,000	1
Uses of Funds - Cash Flow					
Description	Total Budget	Actual Total Todate	Mar 2020	Estimate at Completion	See Notes
Moving Ground Plane Integration into CWT	$ 3,350,000	$ 1,566,524	$ 191,641	$ 4,794,589	2
Aerodynamic Enhancements Required for MGP	$ 2,540,000	$ 950,910	$ 255,400	$ 2,142,138	2
Acoustics	$ 845,000	$ 664,417	$ 84,148	$ 827,341	2
Precision Measurement Capability	$ 1,850,000	$ 950,158	$ 18,800	$ 1,038,010	2
Chamber Modifications	$ 630,000	$ 343,606	$ 53,549	$ 605,118	2
Base Building Modifications	$ 3,645,000	$ 3,246,615	$ 22,825	$ 3,520,001	2
Engineering and Project Management	$ 2,000,000	$ 1,008,876	$ 67,382	$ 1,932,803	2
				$ -	
Totals	$ 14,860,000	$ 8,731,105	$ 693,746	$ 14,860,000	

Notes:
1. Unalloted Donations received from Donors
2 Estimate at completion - reviewed and revised as of 2019 December project status

OntarioTech
UNIVERSITY

BOARD OF GOVERNORS
Audit & Finance Committee (A&F)
_____
Minutes of the Public Session of the Meeting of
Wednesday, February 19, 2020
2:00 p.m. to 4:00 p.m.
North Campus, ERC 3023

Members: Nigel Allen (Chair), Doug Allingham, Stephanie Chow (*videoconference*), Dale MacMillan, Steven Murphy, Dietmar Reiner

Staff: Becky Dinwoodie, Cheryl Foy, Andrew Gallagher, Lori Livingston, Brad MacIsaac, Pamela Onsiong

Guests: Chelsea Bauer (Faculty Association)

1. Call to Order
The Chair called the meeting to order at 2:00 p.m.

2. Agenda
Upon a motion duly made by D. Allingham and seconded by D. Reiner, the Agenda was approved as presented.

3. Conflict of Interest Declaration
There was none.

4. Chair's Remarks
The Chair welcomed the members to the first committee meeting of the new year. He noted that the committee has a fair bit of material to get through and he was looking forward to the discussions.

5. President's Remarks
The President reminded the committee that 80-85% of the university's expenses are fixed costs (mostly labour), which continue to increase while the university's funding through tuition and grant money remains flat or is declining (tuition reduced by 10% for 2019-2020). There are few options available to increase the university's revenue (e.g. philanthropy and other income-generating activities). The university is committed to remaining strategically focused during times of fiscal restraint. They are taking a strategic look at belt-tightening and how to generate additional income.

The President discussed the university's energy initiative. It is a multidisciplinary effort and is focused on helping society become carbon neutral. He also discussed the skills shortage and how governments are focused on the premise that a degree should lead to a job.

The President reviewed the five strategic pillars and several of the initiatives supporting the pillars:

- o sticky campus (introduction of basketball teams);
- o tech focus;
- o entrepreneur skillset & work-integrated learning;
- o partnerships (strengthening partnership with OPG); and
- o story-telling (e.g. rebrand, dramatic changes on campus in terms of appearance & acceptance)

In times of fiscal restraint, we must remain focused on the strategic priorities. The Chair shared feedback he received on the rebrand when attending the Oshawa Curling Club. The President commented that our students have shared their enthusiasm for proudly sporting the new uniforms. S. Chow also shared that the rebrand was also a topic of discussion at a recent CPA meeting.

6. Investment Committee Oversight
6.1 Quarterly Report
S. Chow delivered a report from that morning's Investment Committee meeting. The investment account is at $28.3m and the cash account is at $485,000. The return over the last quarter was 2.5%, which was slightly behind benchmark. The main reason for the portfolio coming under the benchmark was the performance of the market neutral fund, which was removed from the investment portfolio in December 2019.

6.2 Statement of Investment Policies Amendment (SIP)
S. Chow reviewed the proposed amendments to the SIP, which were set out in the accompanying report. She advised of an amendment to the Investment Committee's recommendation - in s. 5.1(e) of the SIP, the Investment Committee updated it to "commercial investment grade income producing real estate" and removed the reference to "Canadian". She also highlighted the recommended change in 6.1, where the range is changed to 0-20% from of 0-15%. S. Chow responded to questions from the committee. There was a discussion regarding whether a change in oversight would be required due to the proposed amendments. S. Chow explained the rationale for allowing for investment in direct real estate and clarified that the investment would still be done through funds.

Upon a motion duly made by S. Chow and seconded by D. Reiner, pursuant to the recommendation of the Investment Committee, the Audit & Finance Committee recommended the proposed amendments to the Statement of Investment Policies, as amended, for approval by the Board of Governors.

6.3 Endowment Disbursement
S. Chow presented the endowment disbursement recommendation for consideration. She provided an overview of the report that was included in the meeting material.

Upon a motion duly made by S. Chow and seconded by D. Allingham, the Audit & Finance committee recommended the disbursement of up to $725,000 from Endowment Funds for distribution as student awards in 2020-21.

7.   Finance
7.1   Third Quarter Financial Reports
The Chair welcomed A. Gallagher to his first A&F meeting.

P. Onsiong reviewed the financial reports with the committee. She discussed the tension between revenue and expenses.

Several of the key items P. Onsiong reviewed were:

- decrease of almost $8m in cash & cash equivalents over last year due to new building project;
- have collected 95% of the accounts receivable since December;
- 26m cash injection in capital;
- university continues to repay debt - $7m as of Dec 2019;
- revenue increase of 2% whereas expenses increased by 5%;
- ratios continue to be positive;
- at end of year, looking at a lower operating surplus than last year; and
- a net forecast operating surplus of $3.1m., consisting mostly of planned surplus of $2.5m.

7.2   2020-2021 Budget Update
A. Gallagher, B. MacIsaac and L. Livingston presented the 2020-2021 budget update, which was included in the committee's meeting material.

(C. Bauer left at 2:56 p.m.)

7.3   2020-2021 Tuition Fees
B. MacIsaac reviewed the process followed when proposing tuition increases and the considerations involved. He presented the proposed tuition fees for 2020-2021 for the committee's recommendation and responded to questions. He clarified that the accounting diploma is not funded by the Ministry; therefore, the tuition for the diploma is not subject to the tuition freeze. B. MacIsaac also explained the rationale for the 10% increase in first year tuition for international students and lower amounts in the subsequent years. The goal is to give international students sufficient notice of what tuition they should expect over the years.

Upon a motion duly made by D. Reiner and seconded by D. Allingham, the Audit & Finance Committee recommended the 2020-2021 tuition fees, as presented, for approval by the Board of Governors.

7.4   2020-2021 Ancillary Fees
B. MacIsaac provided an overview of the ancillary fees protocol and membership of the Ancillary Fees Committee. He advised that fee increases below the Bank of Canada, Consumer Price Index (CPI) average of 12 months do not require Board approval. This year's CPI is 2.2%. The Ancillary Fees Committee has worked very hard over the last several years to hold ancillary fee increases at or less than the inflation rate. B. MacIsaac explained the reasons behind the university's higher ancillary fees (capital projects, UPASS, TELE software, etc.). He also advised that the Student Union would

be holding a referendum regarding Faculty specific society fees, as well as a new legal services fee. If the students vote in favour of the fees, an update will be presented for approval for the fall. B. MacIsaac responded to questions from the committee. He explained that the 14.99% increase for Faculty of Education ancillary fees was for software costs.

Upon a motion duly made by D. Allingham and seconded by D. Reiner, pursuant to the recommendation of the Ancillary Fees Committee, the Audit and Finance Committee recommended Board approval of those 2020-21 ancillary fees that will be increased, as presented.

7.5   TELE Program
B. MacIsaac provided an update on the university's TELE program. In 2014-2015, approval was sought to spend $6.5m for laptops. As programs continue to transition to the "bring your own device" model, that amount continues to decrease and the anticipated amount to be spent on laptops for the upcoming year is $600,000. The timing of refresh cycles is also being extended.

8.   Project Updates
8.1   New Building
B. MacIsaac presented the new building project update to the committee, which was included in the meeting material. He responded to questions from committee members. There was a discussion regarding the cost of water drainage on the site. B. MacIsaac advised that the cost would be approximately $100,000. There was also a discussion regarding safety protocol for moving in to the building during continued construction. B. MacIsaac also updated the committee on the efforts to dispose of the portables that will no longer be used once the building is complete.

8.2   ACE Enhancement
B. MacIsaac updated the committee on the progress being made on the ACE enhancement project. The presentation was included in the meeting material.

8.3   AVIN
L. Jacobs presented the AVIN project update, which was included in the meeting material. There was a discussion regarding which other institutions would be working on something comparable to the university. L. Jacobs advised that other than Waterloo, the university is a leader in the field. The work being done has a multi-disciplinary focus.

9.   Consent Agenda:
Upon a motion duly made by D. Allingham and seconded by D. Reiner, the Consent Agenda was approved as presented.

9.1   Animal Care Committee:
(a)   Terms of Reference
(b)   Policy on the Care & Use of Animals in Research & Teaching
(c)   ACC Administrative Procedure Series 001: Review & Approval of Animal Use Protocols

(d)   ACC Administrative Procedure Series 002: Process for Reconsideration or Appeal of Decisions of the ACC

9.2   Minutes of Public Session of Meeting of November 20, 2019

10.   For Information:
10.1   Credit Rating Update
10.2   Compliance & Policy Update

11.   Other Business

12.   Adjournment
There being no other business, upon a motion duly made by D. Allingham and seconded by S. Murphy, the meeting adjourned at 3:35 p.m.

Becky Dinwoodie, Secretary

BOARD REPORT

SESSION:
Public ☒
Non-Public ☐

ACTION REQUESTED:
Decision ☒
Discussion/Direction ☐

TO: **Audit & Finance Committee (A&F)**

DATE: **April 15, 2020**

FROM: **Cheryl Foy, University Secretary and General Counsel**

SUBJECT: **Technology Use Policy Amendments**

COMMITTEE MANDATE:
- Under the University's Act, section 9 (1), the Board of Governors has the power: "to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented". The university's Policy Framework is a key institutional policy that delegates the Board's power, establishing categories of policy instruments with distinct approval pathways.
- Under the Policy Framework, the Board of Governors is the approval authority for this policy and A&F is the deliberative body.
- We are submitting this report and draft policy amendment documents to A&F to request the committee's recommendation of the amended Technology Use Policy for approval by the Board.

BACKGROUND/CONTEXT & RATIONALE:
- The University owns, maintains and manages Information Technology (IT) resources to support the educational, instructional, research and administrative activities of the University. The University's current Technology Use Policy was approved by the Board in May 2012.
- While university members are free to use IT resources in pursuit of their individual and collective academic and administrative goals, it is equally important that safeguards are in place to ensure that the information, equipment and networks remain reliable, robust and secure on an ongoing basis. This Policy sets out the acceptable and responsible use of IT resources in a manner that is consistent with Ontario Tech University's values of integrity and responsibility, honesty and accountability, and intellectual rigour.
- This policy sets out expectations for acceptable and unacceptable use, and clarifies the privacy expectations for university members who use IT resources.

- This policy may refer incidents to resolution processes outlined in the following policies that address unacceptable conduct at the university:
    o Harassment and Discrimination Policy and Procedures;
    o Workplace Violence, Harassment and Discrimination Policy and Procedures;
    o Student Sexual Violence Policy and Procedures;
    o Student Conduct Policy; and
    o Academic Integrity Policies (academic integrity regulations in the Graduate and Undergraduate Academic Calendars).
- This policy commits to and does not conflict with the rights of university members to academic freedom. Ownership and other rights in intellectual property created using IT resources is determined by the university's Intellectual Property Policy, not the Technology Use Policy. Where this policy may intersect with collective agreement(s), the terms of the collective agreement prevail, per s. 9.3 of the Policy Framework.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:
- This policy supports the university's commitments to academic freedom and freedom of expression

CONSULTATION:
- Ontario Tech Information Technology Services
- Academic Council (November 26, 2019 & February 25, 2020)
- Senior Leadership Team (February 3, 2020)
- Policy Advisory Committee (February 5, 2020)
- Online Consultation (March 2-13, 2020)
- Administrative Leadership Team (March 10, 2020)
- Audit & Finance Committee (April 15, 2020)
- Board of Governors (April 23, 2020)

Consultation Comments and Response
- This policy must not prevent users from using systems that are not explicitly authorized by the university. There are many tools and systems in use that are not provided by the university that are valuable to the educational mission of the university.
    o **Response:** This policy is not intended to curtail the use of systems and programs that are not explicitly authorized by the university. We have made amendments to clarify this.
- This policy should allow user accounts to be shared if a people manager needs to delegate certain work to an individual in their department.
    o **Response:** Any sharing of account credentials for university-provided systems or networks is prohibited under the policy. This is intended. Users who need to use university systems as part of their role should have credentials that allow them the necessary access. That way, any changes are appropriately logged under the correct user. We are also working on policy instruments related to account provision and access control for university systems that will provide further guidance on these matters.

- Certain research or academic activities may involve materials or messages prohibited by the Technology Use Policy, for example, research related to hate speech or child pornography. These legitimate research activities should not be curtailed by this policy.
  - **Response:** We have been careful to craft a policy that supports academic freedom, and have made clarifying amendments to that effect.
- In cases of academic misconduct, faculty members or administrators need clear guidance on when and how they can examine data in university systems to investigate, even when that may constitute an invasion of privacy.
  - **Response:** This policy balances the expectation of privacy of users, with the university's right to maintain security and integrity of its systems and enforce its policies. For this reason, the policy allows authorized personnel to examine data in university systems to support investigations of academic misconduct, student misconduct and other violations of university policy. It also puts in place administrative safeguards to ensure that the examination of data only occurs with authorization, and sets out situations when the examination will occur.
- Members of Academic Council noted that the prohibition on the viewing of pornography and obscene material should be removed, and that these activities would instead fall into conduct prohibited under harassment policies and laws.
  - **Response:** We have benchmarked against the policies of other institutions and note several that prohibit the viewing or dissemination of pornographic material. While the viewing of pornography can be identified as harassment, in our view it is preferable to set a clear expectation that the behavior is prohibited. Clearly prohibiting the viewing of pornographic materials is easy to understand and requires less interpretation on the part of the end user. We have also examined the relevant definitions in the criminal code and concluded that the term "obscenity" should be removed from the policy. Any materials considered as obscene under the criminal code would be prohibited by the prohibition on pornographic material in the workplace.

COMPLIANCE WITH POLICY/LEGISLATION:
- *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31
- *Canada's Anti-Spam Legislation*
- *Personal Information Protection and Electronic Documents Act*, S.C. 2000, c. 5

NEXT STEPS:
- The policy will be presented for the approval of the Board of Governors on April 23, 2020.

MOTION FOR CONSIDERATION:

That the Audit and Finance Committee hereby recommends the updated Technology Use Policy, as presented, for approval by the Board of Governors.

SUPPORTING REFERENCE MATERIALS:
- blacklined draft Technology Use Policy

Classification Number	LCG 1109
Framework Category	Legal, Compliance and Governance
Approving Authority	Board of Governors
Policy Owner	Provost and Vice President, Academic
Approval Date	DRAFT FOR CONSULTATION
Review Date	
Supersedes	Technology Use Policy, May 2012

TECHNOLOGY USE POLICY

PURPOSE

1.   The University owns, maintains and manages Information Technology (IT) resources to support the educational, instructional, research and administrative activities of the University.

2.   While University Members are free to use these valuable resources in pursuit of their individual and collective academic and administrative goals, it is equally important that safeguards are in place to ensure that the information, equipment and networks remain compliant, reliable, robust and secure.

3.   This Policy sets out the acceptable and responsible use of IT Resources in a manner that is consistent with ~~Ontario Tech~~the University's values of integrity and responsibility, honesty and accountability, and intellectual rigour.

4.   Before University Members can access or use the University's IT Resources, University Members must:

   4.1.   review this Policy or a terms of use that fully complies with this policy, as well as other policies applicable to the type of user; and

   4.2.   accept the University's terms and conditions of use.

DEFINITIONS

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

"Electronically-Stored Information" ~~("ESI")~~ means University Members' ~~[personal]~~ electronic information, other than a University Record, that is created and communicated in digital form and which is accessible through IT Resources.

"Information Asset" means a fixed unit of information recorded by electronic means that is considered a University Record under the Records Management Policy.

"Guest" means any individual that is not a volunteer, Employee, or Student who uses or attempts to use IT Resources. A Guest who accepts the University's terms and conditions of use is considered a University Member under this policy.

"IT Resources" are information technology resources provided by the University, whether on premises or hosted remotely. IT Resources include but are not limited to:

Policy Framework Procedures Appendix D

- networks, including wireless access services, wired networks, switching and routing, load balancers, firewalls, telecom equipment and cables, PBX and other network-related devices, equipment and services;

- servers;

- databases;

- business systems;

- student systems;

- learning management systems;

- websites;

- computers and computer systems, laptops, workstations, computer labs, mobile devices, including telephones, storage devices; and

- online collaborative tools including email, and social media sites (e.g., the University's Twitter, Facebook and YouTube accounts).

"University Member" means any individual who is:

- Employed by the University (**"Employee"**);

- Registered as a student, in accordance with the academic regulations of the University (**"Student"**);

- 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.

SCOPE AND AUTHORITY

6. This Policy applies to all University Members' use of IT Resources and all IT Resources. The use of personally-owned equipment that involves the use of IT Resources is also covered by this Policy.

7. The University is fully committed to promoting and advocating academic freedom. This policy does not limit academic freedom.

8. This Policy does not affect the ~~intellectual property~~ rights of University Members to their intellectual property stored or transmitted using IT Resources. Intellectual property rights are governed by the University's Intellectual Property Policy.

9. The Provost and Vice-President, Academic or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

10. **Authorized Use**

    10.1. University Members will:

9.2 Draft Technology Use Policy_March 18.docx

a) Use ~~only those~~ IT Resources for which the University has given express authorization ~~, and~~ only for intended purpose(s);

b) Take all reasonable steps to avoid compromising the confidentiality, integrity, and availability of IT Resources;

c) Abide by applicable laws and regulations;

d) Abide by applicable University policies, and;

e) Respect the rights and privacy of other University Members and those outside of the University community.

10.2. University Members who fail to comply with this Policy will be subject to one or more of the consequences listed in Section ~~12~~15.

10.3. The University reserves the right to limit or restrict a University Member's access to IT Resources based on:

a) institutional priorities;

b) financial considerations;

c) one or more violations of this Policy or other University policies;

d) contractual agreements; or

e) provincial or federal laws.

11. Reporting

11.1. University Members are responsible for guarding against misuse or abuse of IT Resources.

11.2. University Members will promptly report any known or suspected misuse of IT Resources or violation of this Policy ~~in accordance with the Acceptable Use of Technology Procedures~~to the Office of the Executive Director, IT Services.

~~11.3. Procedures for receiving reports, investigating and resolving conduct in contravention of this Policy will be developed by [the Office of the Provost].~~

12. Specific Violations

12.1. Unauthorized Use. Violations of Section ~~9~~10.1.a) include, but are not limited to:

a) using IT ~~resources~~ Resources without specific authorization where specific authorization is required;

b) using another person's electronic identity, password or log-in credentials for IT Resources;

c) accessing files, data or processes without authorization;

d) using IT Resources to hide a persons' actual identity;

e) using IT Resources to interfere with other systems or persons;

f) using IT Resources to harass or stalk another person or entity;

g) sending threats, "hoax" messages, chain letters, or phishing;

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h)   intercepting, monitoring, or retrieving any network communication without authorization; or

i)   circumventing or attempting to circumvent security mechanisms.

12.2.   Breach of Confidentiality, Integrity and Availability of IT Resources. Violations of Section 910.1.b) include, but are not limited to:

a)   obtaining or using someone else's password or other authentication credentials for IT Resources;

b)   disclosing a personal password or other authentication credentials for IT Resources;

c)   permitting another User to access or use their account(s) provided by the University;

d)   propagating computer viruses, worms, Trojan Horses, malware or any other malicious code;

e)   preventing others from accessing an authorized service;

e)f)   spreading material that supports bulk mail, junk mail, or spamming;

f)g)   degrading or attempting to degrade performance or deny service; or

g)h)   corrupting, altering, destroying, or misusing data or information.

12.3.   Unlawful Use. Violations of Section 910.1.c) include, but are not limited to, using or attempting to use IT Resources to:

a)   pirate software;

a)b)   access material that is illegal, or that advocates or facilitates illegal acts;

b)c)   download, install, use, stream, or distribute unlawfully or illegally obtained media (e.g., software, music, movies);

d)   override, remove or pause any security software installed on IT Resources by the University or at its direction;

c)e)   access technology that is considered a controlled good under federal law on an unencrypted connection;

d)f)   commit criminal harassment, hate crimes, or libel and defamation;

e)g)   commit theft or fraud; or

f)h)   violate child pornography criminal laws.

12.4.   Breach of University policies. Violations of Section 910.1.d) include, but are not limited to, using or attempting to use IT Resources to:

a)   engage in academic dishonesty or plagiarism;

> **b)** engage in discrimination and harassment, including making threats, stalking, or distributing malicious material; or
>
> **c)** direct others to breach any provision of this policy.

12.5. Breach of Privacy. Violations of Section ~~9~~10.1.e) include, but are not limited to:

> **a)** accessing, attempting to access, or copying another person's ~~ESI~~ Electronically-Stored Information without authorization; or
>
> **b)** divulging sensitive personal data to which certain University Members have access concerning faculty, staff, or Students without a valid and lawful administrative or academic reason.

13. Limitations on Personal Use by Employees

13.1. Employees are permitted to use IT Resources for occasional and limited personal use and consistently with this Policy and the Personal use of University Resources Policy.

13.2. The viewing or distribution of ~~obscene,~~ harassing, defamatory, discriminatory, pornographic or hateful material and messages by Employees using IT Resources is prohibited, unless such prohibition infringes upon academic freedom.

14. Investigation

14.1. Reports of conduct by Employees in contravention of this Policy will be addressed by the following means:

> **a)** Harassment, violence or discrimination will be investigated under the Policy Against Harassment, Violence and Discrimination in the Workplace, and in accordance with any applicable collective agreements.
>
> **b)** Other violations can be addressed ~~by the procedures for receiving and resolving reports in section 10.3~~under the Code of Ethical Conduct Policy.

14.2. Reports of conduct constituting Sexual Violence by or against a student will be subject to investigation and sanctions under the Student Sexual Violence Policy.

14.3. Reports of conduct by Students in contravention of this Policy will be subject to investigation and sanctions under the Student Conduct Policy or Academic Integrity Policy, as applicable.

14.4. Reports of conduct constituting Harassment or discrimination not subject to another policy will be investigated under the Harassment and Discrimination Policy.

14.5. Reports of conduct by University Members other than Employees or Students in contravention of this Policy not addressed by another policy will be addressed by the Executive Director, IT Services, in consultation with the General Counsel.~~can be addressed by the procedures for receiving and resolving reports in section 10.3~~.

15. Consequences

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15.1. Users who violate this Policy or any other University policy may be subject to disciplinary action in accordance with a collective agreement, if applicable, up to and including, but not limited to:

a) suspension of access to some or all IT Resources;

b) student expulsion from the University;

c) discipline and termination of employment; and/or

d) legal action.

16. Privacy

16.1. The University respects University Members' reasonable privacy expectations but University Members will not have an expectation of complete privacy when using the University's IT Resources.

16.2. University Members' privacy rights may be superseded by the University's right to protect:

a) the integrity of its IT Resources;

b) the rights of other University Members or Guests; or

c) the University's property.

16.3. The University reserves the right to monitor and log usage of its IT Resources.

16.4. The University also reserves the right to examine and preserve material stored on or transmitted through its IT Resources at its sole discretion. Examples of situations where the University may exercise this right include but are not limited to situations where the University suspects:

a) this Policy has been violated;

b) any other University policy has been violated;

c) any federal or provincial law has been violated; or

d) examination is necessary to protect the integrity of its resources.

16.5. The University will not normally access a University Member's ~~ESI~~ Electronically-Stored Information without consent except for certain limited and specific circumstances, including but not limited to:

a) investigations regarding security, illegal activity, or activity that may contravene the University's Policies and Procedures;

b) compassionate circumstances, as permitted by law;

c) where necessary to carry out urgent operational requirements during an employee's absence when alternative arrangements have not been made; and

d) compliance with law or legal obligations.

Note: The University will exercise these access rights only if administrative approvals have been granted by the Chief Privacy Officer.

16.6. Authorized University Employees or service providers under contract with the University, who operate and support IT Resources, may access ~~ESI~~ Electronically-Stored Information without notice to University Members in order:

    a) to address emergency problems;

    b) to perform routine system maintenance; or

    c) for any other purpose required to maintain the integrity, security and availability of the IT Resources.

16.7. In the process of monitoring IT Resources, the University will:

    a) use all reasonable efforts to limit access to University Members' ~~ESI~~Electronically-Stored Information; and

    b) not disclose or otherwise use any University Members' ~~ESI~~ Electronically-Stored Information that has been accessed, except in accordance with the applicable University policies, procedures and guidelines, and as permitted or required by law.

16.8. If the University is required to disclose a University Member's ~~ESI~~Electronically-Stored Information, in accordance with the law, such disclosure will be reviewed and approved by the Chief Privacy Officer, prior to the release of the ~~ESI~~Electronically-Stored Information.

17. Information Assets

17.1. Employees who have deleted files from one IT Resource, such as a computer hard drive are responsible for managing copies that may continue to exist in or on other IT Resources, such as shared drives. Employees are responsible for ensuring file management and disposition of Information Assets in accordance with the Records Management Policy, Records Classification and Retention Schedule, and Records Disposition Procedures.

17.2. Information Assets created or received outside of IT Resources, such as on a personal smartphone or computer must be stored on approved IT Resources as soon as possible to ensure continuity during an Employee's absence.

MONITORING AND REVIEW

18. This Policy will be reviewed as necessary and at least every three years. The Executive Director, Information Technology Services, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

19. *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31

20. *Canada's Anti-Spam Legislation (An Act to promote the efficiency and adaptability of the Canadian economy by regulating certain activities that discourage reliance on electronic means of carrying out commercial activities, and to amend the Canadian Radio-television and*

Telecommunications Commission Act, the Competition Act, the Personal Information Protection and Electronic Documents Act and the Telecommunications Act, S.C. 2010, c. 23)

21.   *Personal Information Protection and Electronic Documents Act*, S.C. 2000, c. 5

22.   *Defence Production Act (R.S.C., 1985, c. D-1)*

23.   *Export and Import Permits Act (R.S.C., 1985, c. E-19)*

~~21.~~

RELATED POLICIES, PROCEDURES & DOCUMENTS

24.   Information Security Policy

~~22.~~   PCI Sustainability Policy

Records Management Policy

Records Retention and Classification Schedule

Records Disposition Procedures

Access to Information and the Protection of Privacy Policy

Personal Use of University Resources Policy

Student Conduct Policy

Academic Integrity Policy

Policy Against Violence, Harassment and Discrimination in the Workplace

Harassment and Discrimination Policy

Student Sexual Violence Policy

Student Sexual Violence Policy and Procedures

Controlled Goods Policy (in development)

Dr. Les Jacobs
Vice-President, Research & Innovation
April 15, 2020

AVIN Update

In April, 2020, Ontario Tech University successfully partnered with two local companies to successfully secure major grants from the AVIN funding program.

1. Team Eagle (Campbellford, ON)- Runway to Roadways. This project was awarded funding just shy of $900k from the AVIN Stream 2 funding program to move their Runway monitoring technologies to the roadway. The technology portfolio in this project consist of two key components. The first is the RCAM which is a high resolution camera backed by proprietary software used to characterize the runway surface conditions (cracks/potholes etc.) coupled with the level of contamination. Contamination primarily includes snow coverage, depth along with chemicals/rain that may be present in the form of puddles. The second technology is the BAT-Braking Availability Tester. This is a very high resolution surface friction measurement system that will deployed as a tow-behind on municipal vehicles as part of this project. The high level project concept is that the two technologies will provide municipalities with a clear picture of the road conditions year round which will help with their maintenance in the summer and snow removal in the winter. Key benefits are enhanced community safety, cost savings and reduced environmental impact (reducing over application of de-icers/salt). Team Eagle is a Northumberland based company that Ontario Tech has been working with for over 3 years.

2. eCAMION (Scarborough, On)- Operator Free Charging for Autonomous Transit Vehicles. This project was awarded $775k from the AVIN Stream 2 funding program. This project is part of a strategic partnership we have established with eCAMION and Oshawa PUC to create a center of expertise around energy transfer within the Durham Region. The project itself is linked to demonstrating autonomous charging of autonomous transit vehicles but is part of almost $3M of funding (NRCan, NRC-IRAP International, AVIN) that we've been working together on. It will build on our existing capabilities we've developed with eCAMION so far, including high temperature 150kW power transfer (charging) within ACE along with wireless charging project under discussion with Ontario Tech CRC Sheldon Williamson. This is our second AVIN Stream 2 project with eCAMION.

The value of bringing these opportunities to eCAMION and Team Eagle cannot be measured simply by the direct cash value these projects will flow back to Ontario Tech. We may only see 10% or less of the money from each project. The value, which we are already seeing from both companies, is the longer term relationships that will benefit our faculty and students as both companies are eager to continue to work with a "trusted" partner that has their success as part of the partnership equation.