

Wednesday, February 7, 2018

Public Session

10:00 a.m. – 11:00 a.m.

North Campus, ERC 3023

Toll-Free: 1-877-385-4099 Participant Passcode: 1028954#

Members: Karyn Brearley (Chair), Doug Allingham, Robert Bailey, Lisa Edgar, Andrew Elrick, Francis Garwe, Jay Lefton

Staff: Becky Dinwoodie, Craig Elliott, Cheryl Foy, Jennifer Freeman, Doug Holdway, Lori Livingston, Susan McGovern

AGENDA

No.	Topic	Lead	Allocated Time	Suggested End Time
1	Call to Order	Chair		
2	Agenda (M)	Chair		
3	Conflict of Interest Declaration	Chair		
4	Approval of Minutes of the Meeting of November 15, 2017* (M)	Chair		
5	Chair's Remarks	Chair		
6	President's Remarks	R. Bailey		10:10 a.m.
7	Governance			
7.1	By-laws Implementation Plan* (D)	C. Foy	10	10:20 a.m.
7.2	Policy:			
	(a) Policy Framework Review* (P)(D)	C. Foy	10	10:30 a.m.
	(b) Intellectual Property Policy (P)(U)	J. Freeman	10	10:40 a.m.
8	Nominations			
8.1	LGIC Appointments* (U)	B. Dinwoodie	5	10:45 a.m.
9	Human Resources			
9.1	Annual Pension Plan Report* (U)	C. Foy	10	10:55 a.m.
10	Other Business	Chair		
11	For Information:			
11.1	President's Equity Taskforce Terms of Reference*			
11.2	President's Indigenous Reconciliation Taskforce Terms of Reference*			
12	Termination (M)	Chair		11:00 a.m.

Becky Dinwoodie, Secretary

Public Session Minutes for the Meeting of November 15, 2017
10:00 – 10:55 a.m., ERC 3023

Attendees: Karyn Brearley (Chair), Lisa Edgar, Andrew Elrick (*via teleconference*), Francis Garwe, Jay Lefton (*via teleconference*)

Staff: Becky Dinwoodie, Craig Elliott, Cheryl Foy, Douglas Holdway, Susan McGovern

Regrets: Doug Allingham

1. Call to Order

The Chair called the meeting to order at 10:00 a.m.

2. Agenda

Upon a motion duly made by T. McTiernan and seconded by L. Edgar, the Agenda was approved as presented.

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Approval of Minutes of the Meeting of September 27, 2017

Upon a motion duly made by T. McTiernan and seconded by K. Brearley, the minutes were approved as presented.

5. Chair's Remarks

The Chair welcomed L. Edgar to the Committee.

(J. Lefton joined the meeting at 10:02 a.m.)

6. President's Remarks

The President discussed the changing dynamic between university Boards and governments due to increasing regulation of institutions. He noted that this is the topic of one of the sessions at the upcoming CCOU Conference, of which C. Foy was one of the co-organizers.

He also discussed the implementation of equity and diversity targets in order to obtain certain types of funding (e.g. research funding). The university will be conscious of meeting the spirit and letter of these policy directives.

7. Governance

7.1.1 3-Year Governance Plan

C. Foy reviewed the proposed 3-year governance plan with the committee. The key governance priorities are leadership, engagement, and education. A suggestion was made to include a session on government regulation for the Strategy & Planning Committee. The committee members supported the priorities set out in the plan.

7.2 Compliance

C. Foy advised that one of the long term goals of the institution is to develop a comprehensive compliance plan, which will be overseen by the Audit & Finance Committee but will have many aspects falling within the remit of GNHR. They are working on addressing resources to allocate to the development of a compliance plan. C. Foy confirmed that there are elements of tracking compliance already in place at the institution but not a comprehensive picture of the university's compliance obligations. They will work towards the integration of all of the pieces of compliance across the university.

7.3 Policy

Policy Framework Review

C. Foy delivered a presentation entitled "UOIT Policy Framework Review". She highlighted the improvements that have been made through the implementation of the Policy Framework. She discussed the proposed review process, including the comments already received that will be addressed. One of the goals will be to increase Policy Framework education across the institution. The committee expressed support for the proposed review plan.

8. Nominations

8.1 Election Process 2018-2019

B. Dinwoodie summarized the 2018-2019 election process that was distributed prior to the meeting. She responded to questions regarding the election timeline. She advised that the elected students' terms cannot be staggered due to the term requirements set out in the *UOIT Act*. The committee discussed the transition of new governors and suggested considering offering educational sessions prior to the start of their term to help them get up to speed.

Upon a motion duly made by T. McTiernan and seconded by F. Garwe, pursuant to the recommendation of the Chief Electoral Officer, the Governance, Nominations and Human Resources Committee approved the proposed 2018-2019 Board of Governors Elections Timeline, as presented.

9. Other Business

10. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by F. Garwe, the public session of the meeting adjourned at 10:46 a.m.

Becky Dinwoodie, Secretary

DRAFT



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

TO: Governance, Nominations & Human Resources Committee (GNHR)

DATE: February 7, 2018

PRESENTED BY: Cheryl Foy, University Secretary & General Counsel

PREPARED BY: Becky Dinwoodie, Assistant University Secretary

SUBJECT: By-laws Implementation Plan

COMMITTEE MANDATE:

In accordance with its Terms of Reference, GNHR is responsible for advising the Board of Governors on its governance structure and processes, which includes reviewing the UOIT By-laws and recommending revisions when appropriate.

Consistent with the committee’s mandate, we are seeking GNHR’s feedback on the proposed By-laws Implementation Plan.

BACKGROUND:

As part of the committee’s responsibilities, a By-law Review Working Group was established in May 2015. Pursuant to the recommendations of the Working Group, GNHR recommended the updated By-law No. 1 and new By-law No. 2 for approval by the Board at the meeting of October 26, 2017. The Board approved the By-laws as presented, which come into effect on September 1, 2018.

At the GNHR meeting in November 2017, the committee reviewed and endorsed the proposed 3-year Governance Plan for the Board. One of the 2018 governance priorities identified for both the Board and Academic Council is the implementation of the updated By-laws. Accordingly, we developed a By-law Implementation Plan to guide the process.

CONSULTATION:

GNHR:

- November 15, 2017 – 3-year Governance Plan for comment
- February 7, 2018 – By-law Implementation Plan for comment

Academic Council (AC):

- January 16, 2018 – 2018 governance priorities for comment
- February 27, 2018 – By-law No. 2 Implementation Plan for comment

NEXT STEPS:

1. Present proposed By-law No. 2 Implementation Plan at next AC meeting.
2. Subject to feedback of GNHR and AC, proceed with executing By-laws Implementation Plan.

SUPPORTING REFERENCE MATERIALS:

- Draft By-laws Implementation Plan
- By-laws No. 1 & 2 (available on portal for reference)

BY-LAWS IMPLEMENTATION PLAN

BY-LAW No. 1

Article	Actions Required	Lead	Target Date
Definitions - "Administrative Staff"	<ul style="list-style-type: none"> Review of policy instruments to update term "non-academic staff" to "administrative staff" 	Office of University Secretary & General Counsel (USGC)	2020
	<ul style="list-style-type: none"> Definition broadened to include part-time continuing employees Update Board Election Procedures, if required 	USGC	Fall 2018
3.3(c)	<ul style="list-style-type: none"> Reduce number of elected student governors from 2 to 1 – open to undergraduate & graduate students implement change in Spring 2018 election 	USGC	Spring 2018
	<ul style="list-style-type: none"> Update Board Election Procedures, if required 	USGC	Fall 2018
4.2 – 4.6	<ul style="list-style-type: none"> Board "Conflict of Interest" provisions Include in governor orientation 	USGC	Fall 2018
6.11	<ul style="list-style-type: none"> Rules of Order changed to <i>Democratic Rules of Order</i> by Francis & Francis Distribute copies to the Board during orientation 	USGC	Fall 2018



BY-LAWS IMPLEMENTATION PLAN

Academic Council – Immediate Priority	Lead	Target Date
<ul style="list-style-type: none"> Discussion regarding establishment of a governance committee/working group of Academic Council (AC) 	Office of University Secretary & General Counsel (USGC)	Summer 2018

BY-LAW No. 2

Article	Actions Required	Lead	Target Date
1.1(a)(ii)	<ul style="list-style-type: none"> Develop procedure for selection of Vice-Chair for AC 	AC	Summer 2018
1.1(a)(iii)	<ul style="list-style-type: none"> Develop procedure for selecting temporary Chair for AC 	AC	Summer 2018
1.1(a)(iv)	<ul style="list-style-type: none"> Review of appointment process & committee appointment procedures to be completed together with the review of AC committees' terms of reference 	AC	Fall 2019
2.3	<ul style="list-style-type: none"> Increase in elected faculty & student membership of Academic Council Include additional positions in 2018 Spring Election 	USGC	Spring 2018
2.4	<ul style="list-style-type: none"> Review & update Academic Council Election procedures 	USGC	Spring 2018
5.1	<ul style="list-style-type: none"> Develop procedure for selecting Academic Council liaison with the Board 	Academic Council	Summer 2018



BY-LAWS IMPLEMENTATION PLAN

PARKING LOT

Issue	Actions Required	Lead	Target Date
AC Committees	<ul style="list-style-type: none"> Review Terms of Reference & appointment procedures 	Academic Council	Fall 2019
Faculty Councils (FC)	<ul style="list-style-type: none"> Review Terms of Reference 	Academic Council	Fall 2019
	<ul style="list-style-type: none"> Review meeting processes 	Academic Council	Winter 2020
	<ul style="list-style-type: none"> Review communication between FC & AC 	Academic Council	Winter 2020
Outdated Academic Council Handbook	<ul style="list-style-type: none"> Review & update Academic Council Handbook Consider eliminating Academic Council Handbook & replacing with Terms of Reference, Policies & Procedures 	Academic Council	Spring 2020

UOIT Policy Framework Review

Why we are here

- The UOIT Policy Framework was approved November 28, 2014. Under the UOIT Policy Framework, all policy instruments must be reviewed at least every three years.
- Provide an update and plan for the UOIT Policy Framework Review.
- Request your comments and discussion of the UOIT Policy Framework.

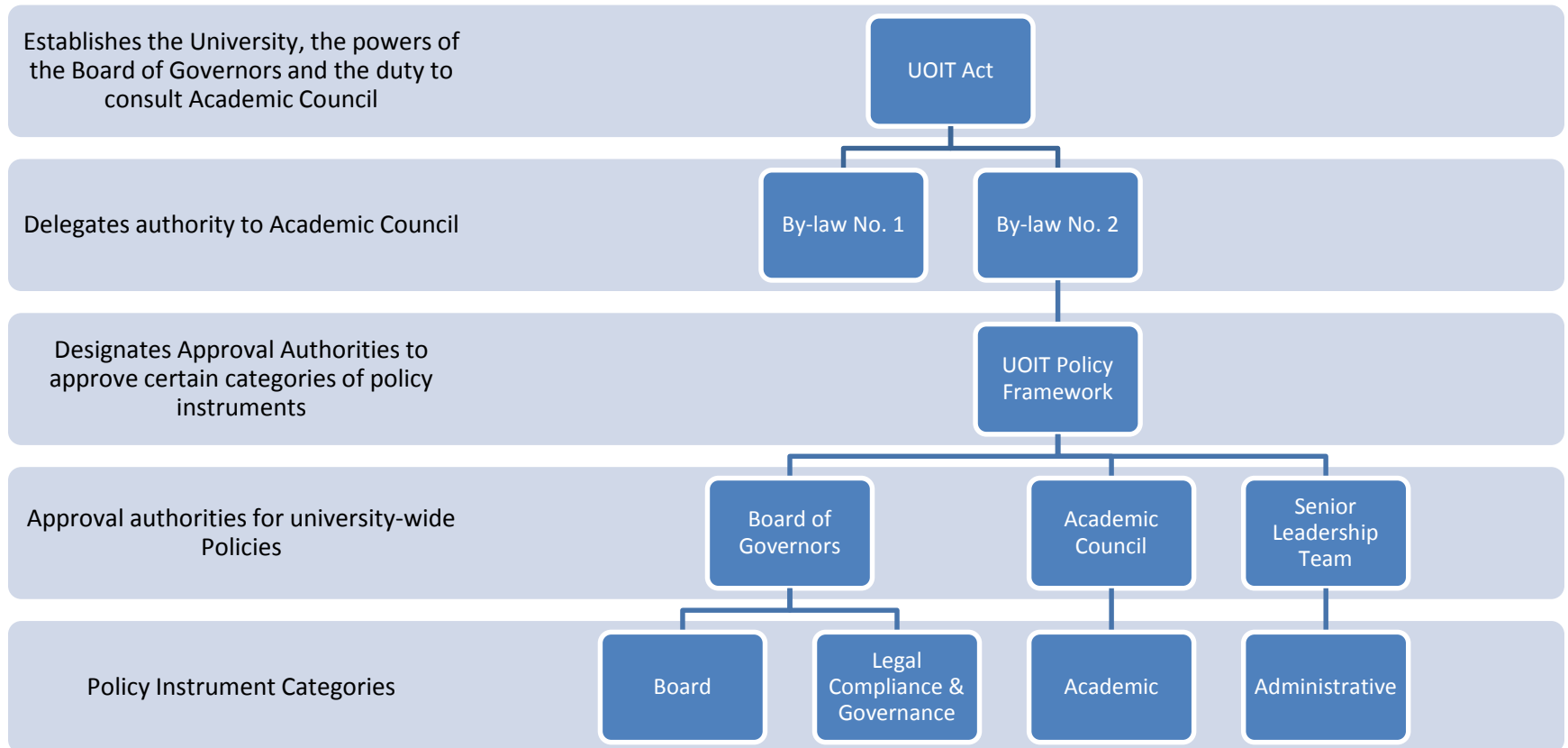
Review Process and Consultation

COMMITTEE	COMMITTEE MEETING DATE
Policy Advisory Committee	December (Intro & discussion)
	February (discussion)
	March (Review of amendments)
Academic Council	January (Intro)
	February (discussion)
	March (consider for recommendation)
Online Consultation (community comments)	Mid January – Mid February (open comment period – in progress)
Administrative Council	January (Intro)
	February (discussion)
Senior Leadership Team	February (discussion)
	March (deliberation)
A&F	November (Intro)
GNHR	November (intro)
	February (discussion)
	April (deliberation)
Board of Governors	March (update)
	May (approval)

Known comments to address

- Raise awareness of Policy Framework.
- Clarify and simplify the policy development, consultation and approval process.
- Review and update approval authorities.
 - Users want more clarity on approval paths. “As determined by” is difficult to interpret.
 - Strengthen the role of Policy Advisory Committee (PAC) to provide its comments more weight. Ensure PAC reviews all Administrative and Legal, Compliance and Governance policies, procedures, guidelines and directives.
 - Reflect changes to the administrative committee structure.
 - Consult with Academic Council to define approval authorities.
- Mandatory use of online consultation tool for new policies.
- Provide additional tools to policy leads and make tools more easily accessible.

Governance context for the UOIT Policy Framework



GNHR's Role in the Policy Framework

- As an approval authority for Legal, Compliance and Governance Procedures:
 - ...the university body or position that has the authority to approve, amend, review or revoke a policy instrument, in accordance with the Policy Framework.
- As a deliberative body for Legal, Compliance and Governance Policies:
 - ...the university body or committee that is tasked with reviewing, discussing and considering a policy instrument prior to its approval. The Deliberative Body is responsible for making recommendations to the Approval Authority regarding the approval of the policy instrument.

Existing Approval Authorities and Approval Path

Policy Instrument Category	Policy Instrument Type	Deliberative Body		Approval Authority
Legal, Compliance and Governance	Policy	SLT	Board Committees	Board of Governors
	Procedure	As determined by SLT		SLT and/or Board Committees
	Guidelines & Directives	As determined by SLT		SLT
Administrative	Policy	PACIP		SLT
	Procedure	Policy Advisory Committee		Vice-President
	Guidelines & Directives	As determined by Vice-President		Assistant Vice-President, Associate Provost, Dean, Director

Proposed Approval Authorities (draft)

Policy Instrument Category	Policy Instrument Type	Deliberative Body/Bodies			Approval Authority
Legal, Compliance and Governance	Policy	PAC	UAC	Board Committees	Board of Governors
	Procedures	Policy Advisory Committee		University Administrative Council	President and/or Board Committees
	Guidelines & Directives	Policy Advisory Committee			Admin Council
Administrative	Policy	Policy Advisory Committee			Admin Council
	Procedures	Vice-President			Policy Advisory Committee
	Guidelines & Directives	As determined by Vice-President.			Assistant Vice-President, Associate Provost, Dean, Director

Existing Approval Authorities and Approval Path

Policy Instrument Category	Category Description	Policy Instrument Type	Deliberative Body	Approval Authority
Board	Policy Instruments that relate to the governance and administration of the Board of Governors.	Policy	Board Committees	Board of Governors
		Procedures	Board Committees	Board Committees
		Guidelines & Directives	Board Committees	Board Committees
Academic	Policy Instruments that relate to academic governance and administration within the delegated authorities of Academic Council from the Board.	Policy	As determined by Academic Council*	Academic Council
		Procedures	As determined by Academic Council*	As determined by Academic Council*
		Guidelines & Directives	As determined by Academic Council*	As determined by Academic Council*

Upcoming initiatives to support Policy Framework

- Offer workshops for training and expand offering of tools and guides regarding policy development at UOIT.
- Implement a policy review schedule, along with tools to assist the policy lead.
- Provide updates to University Administrative Council and the university community (Policy Bulletin) on new and revised policies.

Next steps

- Online consultation ongoing until February 23 while committee consultation continues.
- Comments received will be considered at Policy Advisory Committee.
- Will return to GNHR for recommendation of proposed amendments.

Discussion



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

TO: Governance, Nominations & Human Resources Committee (GNHR)

DATE: February 7, 2018

PRESENTED BY: Becky Dinwoodie, Assistant University Secretary

SLT Lead: Cheryl Foy, University Secretary & General Counsel

SUBJECT: LGIC Appointments Update

COMMITTEE MANDATE:

As set out in its terms of reference, it is GNHR’s responsibility to oversee the process of recruiting, selecting and electing new governors and recommending their appointment to the Board in accordance with the *UOIT Act* and By-laws. Under the *UOIT Act*, the Board is required to have three members appointed by the Lieutenant Governor in Council (LGIC).

BACKGROUND/CONTEXT:

We currently have one LGIC member, Bonnie Schmidt, on the Board of Governors. The departure of Adele Imrie and Miles Goacher from the Board in August 2017 created two vacant LGIC positions on the Board. As instructed by the committee, we canvassed interest among those members of the Board of Governors who have a minimum of two years remaining on the Board.

John Speers volunteered to serve as an LGIC appointee. He was appointed as an LGIC member of the Board by Order in Council 2169/2017 on November 15, 2017.

An application for the final remaining vacancy was submitted to the Ontario Public Appointments Secretariat on November 16, 2017.

NEXT STEPS:

1. The Office of the University Secretary and General Counsel will continue to liaise with the university's MAESD contact to monitor the status of the Public Appointments application.

SUPPORTING REFERENCE MATERIALS:

- Copy of Order in Council 2169/2017



**Executive Council of Ontario
Order in Council**

**Conseil exécutif de l'Ontario
Décret**

On the recommendation of the undersigned, the Lieutenant Governor of Ontario, by and with the advice and concurrence of the Executive Council of Ontario, orders that:

Sur la recommandation de la personne soussignée, la lieutenante-gouverneure de l'Ontario, sur l'avis et avec le consentement du Conseil exécutif de l'Ontario, décrète ce qui suit:

Pursuant to the provisions of the *University of Ontario Institute of Technology Act*, **John Speers**, of Toronto, be appointed as a part-time member of the Board of Governors of University of Ontario Institute of Technology to August 31, 2020 effective from the date of this Order in Council.

En vertu des dispositions de la *Loi de 2002 sur l'Institut universitaire de technologie de l'Ontario*, **John Speers**, de Toronto, est nommé membre à temps partiel du conseil d'administration de l'Institut universitaire de technologie de l'Ontario jusqu'au 31 août 2020 à compter du jour de la prise du présent décret.

Recommended: Premier and President of the Council
Recommandé par: Première ministre et la présidente du Conseil

Concurred: Chair of Cabinet
Appuyé par: Le président/la présidente du Conseil des ministres,

Approved and Ordered: NOV 15 2017
Approuvé et décrété le:

**Lieutenant Governor
La lieutenante-gouverneure**



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

TO: Governance, Nominations & Human Resources Committee (GNHR)

DATE: February 7, 2018

PRESENTED BY: Cheryl Foy, University Secretary & General Counsel

SUBJECT: DCPP Governance Compliance

COMMITTEE MANDATE:

As part of GNHR’s oversight of the university’s human resources policies, strategies and plans, the Senior Administration (Pension & Benefits) Sub-Committee (SASC) provides the committee with an annual report on compliance with the UOIT Pension Plan Governance Structure and Processes.

BACKGROUND/CONTEXT & RATIONALE:

UOIT sponsors the university’s pension plan, which is a member-investment directed defined contribution pension plan (DCPP) registered with the Financial Services Commission of Ontario and the Canada Revenue Agency governed by the *Pension Benefits Act (Ontario)* and the *Income Tax Act, Canada*, respectively.

SASC exercises overall responsibility for the proper administration of the DCPP and administration and investment of the Fund. SASC’s responsibilities are carried out by three members of senior management:

- Head of Human Resources (AVP, HR as of December 18, 2018)
- Chief Financial Officer
- General Counsel

SASC is also responsible for reporting to GNHR and certifying that all aspects of the UOIT Pension Plan Governance Structure and UOIT Plan Governance Processes have been met.

With respect to the year January 1 – December 31, 2017, SASC certifies that the responsibilities and processes set out in the accompanying report have been fulfilled and completed, unless indicated in yellow.

NEXT STEPS:

1. Report will be distributed to the Board of Governors at the meeting on March 7, 2018 for information.

SUPPORTING REFERENCE MATERIALS:

- 2017 Annual Pension Plan Report



**THE UOIT DEFINED CONTRIBUTION PENSION PLAN (UOIT DCPP)
GOVERNANCE COMPLIANCE CERTIFICATE**

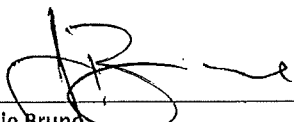
The University of Ontario Institute of Technology ("UOIT") sponsors the University Of Ontario Institute Of Technology Pension Plan, Registration No. 1087808 (the "Plan"). The Plan is a member-investment directed defined contribution pension plan registered with the Financial Services Commission of Ontario and the Canada Revenue Agency governed by the Pension Benefits Act (Ontario) (the "PBA") and the Income Tax Act ("ITA"), Canada, respectively.

The Senior Administration (Pension & Benefits) Sub-Committee (SASC) exercises overall responsibility for the proper administration of the Plan and administration and investment of the Fund.

The SASC's responsibilities are carried out by three members of senior management, the Head of Human Resources, (Effective December 18, 2018 AVP, HR), the Chief Financial Officer (CFO) and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the Provost and Vice-President, Academic and the Pension & Benefits Staff which report to him/her.

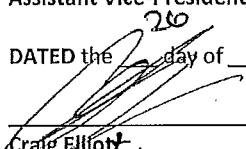
The SASC (or member thereof) is responsible for reporting to the Governance, Nominations & Human Resources Committee of the UOIT Board of Governors and for certifying that all aspects of the UOIT Pension Plan Governance Structure and the UOIT Plan Governance Processes have been met.

With respect to the Year January 1, 2017 to December 31, 2017 the SASC hereby certifies that the responsibilities and processes listed in the accompanying ten (10) Pension Governance Checklists have been fulfilled and completed unless indicated in yellow.



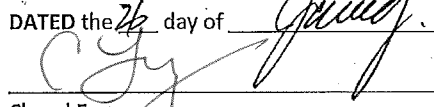
Jamie Bruno,
Assistant Vice-President, Human Resources

DATED the ²⁶ day of January, 2018.



Craig Elliott,
Chief Financial Officer

DATED the ²⁶ day of January, 2018.



Cheryl Foy,
University Secretary and General Counsel, Office of the President

DATED the ^{31st} day of January, 2018.

BOARD OF GOVERNORS

As the guiding mind of UOIT, the Board is the legal plan administrator and, as such, has general oversight responsibility for the administration of the Plan and the administration and investment of the Fund. The Board has established a governance system for the Plan and Fund, which delegates most of the functions relating to the Plan to the SLT. The Board plays an oversight role vis-à-vis the Plan, with its main responsibilities being to receive and consider reports from the Governance, Nominations & Human Resources Committee and the Audit Committee (to which the SLT reports) and to approve Plan design changes recommended by the Governance, Nominations & Human Resources Committee. The Board also appoints the auditor for the Plan and receives reports on risk management issues from the Audit Committee. The Board may also receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the Board's attention.

Board of Governors Checklist

January 1, 2017 to December 31, 2017

No.	Item	Completion Date ¹	Action Required/ Taken/Comments
1.	Establishes and updates the governance system for the Plan on the recommendation of the Governance, Nominations & Human Resources Committee	November 2013	As required
2.	Approves design changes to the Plan ² on the recommendation of the Governance, Nominations & Human Resources	2017 N/A	
3.	Appoints the Plan auditor	2017 N/A	None
4.	Receives annual report from the Governance, Nominations & Human Resources Committee	March 2016	At least annually
5.	Receives and considers reports from the Audit Committee	November 2017	
6.	May receive submissions directly from the Pension & Benefits Committee	2017 N/A	None

Green-completed

Yellow-in progress

Red-outstanding

¹ If a matter is not required to be addressed in a given year, “N/A – 20—“ is indicated in this column so it is clear that someone turned their mind to whether the item was relevant.

² Design Changes are any changes other than changes that are required by legislation (changes required by legislation are approved by SASC). The annual report from the Governance, Nominations & Human Resources Committee should reference any amendments that were approved by SASC.

GOVERNANCE, NOMINATIONS & HUMAN RESOURCES COMMITTEE

The Governance, Nominations & Human Resources Committee exercises an oversight role with respect to the SLT, a committee of senior management to which is assigned responsibility for most administrator and employer functions relating to the Plan, including all day-to-day operational matters. The Committee's main function is to receive and consider reports from the SLT/SASC with respect to the administration of the Plan and the administration and investment of the Fund, as well as with respect to certain employer-related matters including the budget for the Plan. The Governance, Nominations & Human Resources Committee is also responsible for ensuring that the Board receives appropriate reporting on pension-related matters and makes recommendations to the Board on Plan design changes. The Governance, Nominations & Human Resources Committee may receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the Committee's attention.

Governance, Nominations & Human Resources Committee Checklist

January 1, 2017 to December 31, 2017

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives and considers reports from SLT/SASC on matters relating to the, administration and governance of the Plan and Fund	February, June November	At least annually -2016 Pension Governance Report -Pension Audit results -Legislative Amendment definition of Spouse
2.	Receives and considers reports from SLT*/SASC on investment options offered under the Plan	November	At least annually
3.	Receives and considers reports from the SLT/SASC on employer-related matters, including the operational budget for the Plan	November	At least annually
4.	May receive submissions directly from the Pension & Benefits Committee	2017 None	
5.	Considers Plan design changes and makes recommendations to the Board.	2017 N/A	None
6.	Ensures that the appropriate reporting on pension-related matters is made to the Board.	February, June, November	At least annually -as listed in #1 above
7.	Make changes to the Accountability Tool	2017 N/A	None

Green-completed

Yellow-in progress

Red-outstanding

AUDIT & FINANCE COMMITTEE

The Audit Committee has been assigned certain risk management functions and oversees the Plan audit. In carrying out its functions, it works with the SASC and particularly the CFO.

Audit Board of Governors Checklist

January 1, 2017 to December 31, 2017

& Finance Committee No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Performs risk management functions in relation to the Plan and Fund as part of its ERM responsibilities	November	In accordance with the Committee's normal practices
2.	Oversees pension audit as part of the audit of UOIT	September	Done
3.	Receives reports from SLT/SASC/CFO on audit and risk management matters	November	Done
4.	Reports to the Board on risk management and audit issues	November	None reported

 Green-completed
 Yellow-in progress
 Red-outstanding

SENIOR LEADERSHIP TEAM (SLT)

The SLT is responsible for high level oversight of the sponsor, administration and investment functions. The SLT carries out its functions through a sub-committee, the SASC. As such, the SLT, as a committee of the whole, serves mainly as a resource for SASC (i.e., as a sounding board and/or to get input on issues which could have an impact on the University as a whole), receives reports and recommendations from the SASC, and ensures that appropriate reporting is made to the Governance, Nominations & Human Resources and Audit Committees of the Board. Finally, the SLT may receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the SLT's attention.

SLT Checklist

January 1, 2017 to December 31, 2017

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives reports from SASC	Ongoing	SLT meetings held weekly Monday updates provided as required
2.	Considers Plan design changes and makes recommendations to the Governance, Nominations & Human Resources Committee	2017 N/A	None
3.	Ensures that appropriate reporting is made to the Governance, Nominations & Human Resources Committee	Ongoing	SLT meetings held weekly Monday updates provided as required
4.	May receive submissions directly from the Pension & Benefits Committee	2017 N/A	None

 Green-completed
 Yellow-in progress
 Red-outstanding

Senior Administration Sub-Committee (SASC)

The SASC exercises overall responsibility for the proper administration of the Plan and administration and investment of the Fund as well as certain employer-related responsibilities.

SASC's responsibilities are carried out by three members of senior management, the VP, HR ⁵& Services, the Chief Financial Officer (CFO) and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the VP, HR & Services and P&B Staff report to him/her.

One of the main responsibilities of SASC is to oversee the activities of P&B Staff, which has primary responsibility for the day-to-day operations of the Plan. SASC ensures that the appropriate policies for the governance of the Plan and Fund are in place, appoints service providers, executes service contracts, and approves Plan amendments, deals with any material regulatory issues and reports to the SLT, the Governance, and Nominations & Human Resources as necessary or required.

Another key responsibility of SASC is to participate in meetings of the Pension & Benefits Committee and to serve as a liaison between the Pension & Benefits Committee and the SLT.

As a sub-committee of SLT, SASC (or a member thereof) is responsible for reporting is to the Governance, Nominations & Human Resources and Audit Committees of the Board.

SASC Checklist January 1, 2017 to December 31, 2017

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Reviewing and approving the completed checklists/reports of P&B Staff	VP ⁵ , HR & Services	January 2018	
2.	Approving and executing Plan amendments and signing any related regulatory filings.	VP, HR & Services/GC ¹ or delegate	November	Amendment –legislative change to the definition of Spouse
3.	Approving and signing all annual regulatory filings	VP, HR& Services/GC ² or delegate	November August December	Annual Information Return (AIR) – reviewed & filed with FSCO* Form 7- Contribution Summary-reviewed and filed with Sun Life (custodian) Financial Statements filed with FSCO*

¹ GC plays an advisory role on an as needs basis.

² GC plays an advisory role on an as needs basis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
4.	Approves, reviews and amends SIPP	VP, HR & Services/ GC, CFO ³	2017 N/A	None required
5.	Selecting third party service providers and negotiating and executing contracts.	VP, HR & Services/CFO	September	Market Search conducted for Pension & Benefits Provider. As required for Broader Public Sector employers. Selection Committee awarded contracts for both Pension & Benefits to Sun Life (incumbent).
6.	Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements.	CFO/VP, HR & Services ⁴	November	Approved, signed Financial Statements filed with FSCO.
7.	(a) Chairing the Pension & Benefits Committee and preparing the agenda (b) Attending the pension & Benefits Committee	VP, HR & Services (or delegate) CFO (or delegate)	April, May, June, December April & June	Preparation of Agenda Approval of Minutes Year End Pension Investment Performance meeting and discussions.
8.	Receiving and reviewing reports from P&B Staff regarding the performance of third party service providers	VP, HR & Services or delegate	January, May & June	Meetings with SASC as required
9.	Establishing service standards/benchmarks based on recommendations from P & B Staff	VP, HR & Services or delegate	Ongoing	Meetings with SASC as required. Mercer provides investment benchmarks and conducts annual investment performance analysis.

³ GC and CFO play an advisory role on an as needed basis.

⁴ New AVP, HR joins UOIT on December 18, 2017. Prior to this date from April 1, 2011 to Dec 17, 2017 the University's Provost and Vice-President Academics served as the head of HR.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
10.	Receiving and reviewing reports from P&B Staff regarding investment performance (and or having in-person meetings with provider(s) and consultants)	VP, HR & Services or delegate	Q1- April Q2- July Q3 – October Q4-January 2018	Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks. Quarterly data posted to UOIT HR Pension website. Meetings with Mercer & SLF at least annually.
11.	Receiving and reviewing member communication and education initiatives	VP, HR & Services or delegate	April April April April Q1- April Q2- July Q3 – October Q4-January 2018 June July August	<p>“Morningstar Tools at your Fingertips” to all pension plan members and posted to UOIT Pension website.</p> <p>“Investing with Confidence” Workshop</p> <p>One on One sessions with SLF representative</p> <p>“Investing with Confidence” recorded presentation & materials sent to all pension plan members and posted to UOIT pension website.</p> <p>Quarterly Rates of Return /Economic Outlook</p> <p>Targeted communication to address over diversification & target date funds</p> <p>Communication to GIC members with assets >\$100K –SLF GIC trust product.</p> <p>Targeted communication mailing -to address default investors & money market investors.</p>

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
			<p>September</p> <p>October</p> <p>October</p> <p>October</p> <p>November</p>	<p>Outbound calls to former members to discuss termination options within 30 days and thereafter 60, and 90 days.</p> <p>Workshop –“It’s My Time to Save”</p> <p>One on one sessions with Sun Life representative</p> <p>Recorded presentation & materials emailed to all pension plan members and posted to UOIT pension website.</p> <p>Financial Literacy resources provided to all pension plan members & posted to the UOIT pension website.</p>
12.	Reviewing and approving the annual expense budget	VP, HR& Services/GC ⁵	Budget Approval April	In accordance with normal practice
13.	Considering and approving P&B Staff’s recommendations with respect to Plan design changes; initiating recommendations with respect to Plan design changes as required.	VP, HR& Services/CFO	2017 N/A	None
14.	Considering and approving P&B Staff’s recommendations with respect to development of new policies and changes to existing policies; initiating policy development as required.	VP, HR& Services/GC,CFO ⁶	January	Recommendation to SASC update definition of Spouse in accordance with Ontario pension legislation.

⁵ GC plays an advisory role on an as needs basis.

⁶ GC and CFO play an advisory role on an as needed basis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
15.	Dealing with material regulatory issues.	VP, HR& Services/GC	2017 N/A	None
16.	Working with the Audit Committee to address risk management issues	VP, HR & Services/GC ⁷	2017 N/A	None
17.	Overseeing governance review using Canadian Association of Pension Supervisor Authorities (CAPSA) governance tool	CFO/ VP, HR & Services ⁸	Ongoing and annual review Certification by SASC in January 2018	SASC meetings
18.	Preparing and delivering report(s) to the a) SLT b) Governance, Nominations & Human Resources Committee c) Audit Committee d) Board	GC/ VP, HR & Services ⁹	Ongoing Meetings with P & B Staff January, May, June a) Weekly b) June c) November October & December	Updates provided by P & B Staff to head of HR and SASC SASC Committee Meeting Reporting as required Approval of amendment to definition of Spouse Approval of Pension Financial Statements & Pension Audit Report Approval of amendment (Spouse), Pension Financial Statements & Pension Audit Report

⁷ GC plays an advisory role on an as needs basis.

⁸ VP, HR & Services plays an advisory role on an as needs basis

⁹ VP, HR & Services plays an advisory role on an as needs basis

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
19.	Ensuring that the Accountability Tool is completed on an annual basis and maintaining a record of the completed Checklists	VP, HR & Services/CG/CFO	January 2018	SASC annual review and compliance certification to the Board

Green-completed
Yellow-in progress
Red-outstanding

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No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
				recommendations by Mercer subsequently presented to SASC for consideration.
6	Maintaining minutes of meetings	Secretary	April, May June, December	Done-Distributed and posted under public folders in Outlook and filed

Green-completed
Yellow-in progress
Red-outstanding

PENSION & BENEFIT (P&B) STAFF

P&B Staff is responsible for managing the day-to-day operations of the Plan and Fund. Many of the responsibilities in the P&B Staff Checklist may be carried out by third party service providers and in that case P&B Staff’s role is primarily one of co-ordination, monitoring and supervision.

P&B Staff is responsible on an ongoing basis for enrolling Plan members, maintaining historical records of individual members, sending each member an annual statement, calculating and processing retirement, termination, marital breakdown and death payments, and responding to questions from members and former members, ensuring contributions are remitted to the custodian, reviewing monthly pension payments from the fund, making recommendations to the VP, HR & Services with respect to service providers, recommending service standards/benchmarks to VP, HR & Services, monitoring accuracy and timeliness of major services/investment options against established performance standards, explaining and providing written explanations to members about the Plan provision and members’ rights and obligations with respect to the Plan, promoting awareness of the Plan and its provisions among the members and beneficiaries, providing member education programs, assisting the VP, HR & Services and GC in the negotiation of contracts with third party service providers, ensuring that expenses relating to the operation of the Plan are paid within the budget established by the VP, HR & Services and CFO, and ensuring that the Plan is administered in accordance with applicable legislation and all filed documents, including interpreting the Plan document as necessary. P&B Staff also ensures that the Accountability Tool is completed on an annual basis and provided to the VP, HR & Services and for maintaining appropriate records.

The attached checklists are intended to assist P&B Staff in carrying out the foregoing responsibilities to form the basis of P&B Staff’s report to the VP, HR & Services. They consist of an administrative checklist, a regulatory compliance checklist, a key document checklist, and a service provider checklist and accompanying evaluation forms.

P & B STAFF ADMINISTRATIVE CHECKLIST*

January 1, 2017 to December 31, 2017

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
1.	Certified copies of all documents that create and support Plan amendments made during the year	P & B Staff Board Resolution prepared by Assistant GC	November	Amendment – legislative change to the definition of Spouse –authorized by Provost & Vice-President, Academic (Interim).

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
2.	Information with respect to the remittance of employer contributions to the custodian or reallocation of assets within the Fund.	Payroll and verified by HR P & B Staff	<p>Full time -2017 January to December Monthly</p> <p>Less than Full time or Limited Term January to December Bi-Weekly</p>	<p>Each pay cycle monthly or bi-weekly, as the case may be, payroll deductions are processed by payroll and verified by P & B Staff</p> <p>Cumulative amounts are monitored to ensure CRA limits do not exceed the maximum permitted under the Income Tax Act 2017 maximum \$26,230</p>
3.	Reports and returns filed with the Financial Services Commission of Ontario ("FSCO") and Canada Revenue Agency ("CRA").		<p>November</p> <p>August</p> <p>December</p>	<p>Annual Information Return – filed with FSCO*</p> <p>Form 7- Contribution Summary Form reported to Sun Life</p> <p>Audited Financial Statements filed with FSCO</p>
4.	Summaries of Pension Adjustments ("PAs").	Payroll	December	<p>Done</p> <p>2017 Pension Adjustments year-end checked no issues as confirmed by payroll & SLF</p>
5.	Summaries of Pension Adjustment Reversals ("PARs")	N/A	N/A	Applicable to DB plans. UOIT Pension Plan which is a DC plan and therefore N/A.
6.	Annual Information Return	Pension & Benefits Staff	November	Done

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
7.	Form 7, Summary of Contributions/Revised Summary of Contributions	Pension & Benefits Staff	August	Done
8.	Financial Statements (including auditor's report)	KPMG and UOIT	December	Done
9.	Copy of SIPP as either confirmed or amended by VP, HR & Services	VP, HR & Services, Manager, PBW and vetted by Mercer		Confirmed by Mercer no change required to SIPP with respect to the addition of GIC Trust product for assets >\$100K
10.	Reports on monitoring of investment options	Mercer	March	Done _Q4-2016 UOIT DCPPI Investment Monitoring & Plan Governance Review
		Sun Life	April & June Quarterly & Annual reporting	Mercer Analysis presented to P & B Committee for recommendations re: Diversified Growth Funds & Core Plus Bond Funds Done
11.	Information with respect to the monitoring of Plan expenses	Fees paid by members	Reported quarterly on Member pension statements each quarter	Pension Plan statements available online quarterly and mailed to member's home address in January (yearend statement). Former members with assets on deposit also receive same.
12.	Information with respect to the monitoring of fees charges to members	Sun Life	Reported on Member statements each quarter	see comments # 11 2017 RFP resulted in fee reductions ranging from 0.02% to 0.27%. Communicated to all pension plan members.

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
13.	Information with respect to the enrolment of new members	UOIT and Sun Life	<p>1st day of hire for full time continuing employees (FTE) or;</p> <p>Less than full time or limited term employees (LTE) when criteria attained</p> <p>Meeting with each eligible pension plan member for enrolment and information session</p>	<p>All FTEs eligible to join on the date of hire (mandatory)</p> <p>Eligibility (voluntary) for less than full time or LTE employees 24 months of consecutive employment with the University having attained either:</p> <p>a) 700 hours in each of the 2 years or;</p> <p>b) 35% YMPE in each of the previous 2 years*</p> <p>Prior to or on date of hire for FTEs. For LTEs upon eligibility.</p>
14.	Information with respect to the termination and death benefit payments made from the Fund.	UOIT and Sun Life	Ongoing	Reports received monthly
15.	Information with respect to marriage breakdowns	Sun Life	Ongoing	1 inquiry
16.	Information with respect to numbers of member and active members	Sun Life	Monthly & at Plan Year end June	Reports available at Sun Life Plan Sponsor website to access current statistics. Plan Year End reports provided directly by SLF for AIR, Form 7, Audit & Financial Statements.
17.	Information with respect to the annual statements provided to members, including sample statements.	UOIT and Sun Life	May 2016	UOIT HR Pension website "How to read your Pension Statement"

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
18.	Information with respect to the written explanations provided to the members about the Plan provisions and the members' rights and obligations with respect to the Plan.	UOIT and Sun Life	<p>December 2016</p> <p>Ongoing- Full time continuing Pension and Benefits Personal Sign Up meeting (prior to date of hire)</p> <p>Ongoing -Less than full time or limited term employees' pension personal sign up meeting date of eligibility</p>	<p>UOIT DCPD Member Booklet</p> <p>My Money Investment Guide, Sun Life on line tools (risk assessment) and UOIT Pension website</p> <p>Pension & Benefits at a Glance</p> <p>Eligible limited term employees may elect to participate or opt out.</p>
19.	Information with respect to the educational or other information provided to Plan members about the Plan and financial planning for retirement.	UOIT and Sun Life	Ongoing	<p>"Investing with Confidence" Workshop & "It's My Time to Save" plus one on one sessions with SLF representative</p> <p>Financial resources & Quarterly investment performance reports & economic outlooks.</p> <p>UOIT Pension Retirement & Financial Resources we</p>
20.	Information with respect to any regulatory or other administrative issues that arose during the year.	UOIT	November	<p>Filed amendment for legislative change to definition of Spouse</p> <p>No administrative issues</p>
21.	Information with respect to member complaints	Sun Life	2017 N/A	None
22.	Reports on retention of new service providers/copy of completed third party evaluations		October	None
23.	Copies of any legal opinions obtained during the year.	N/A	N/A	None
24.	Copy of completed regulatory compliance checklist	UOIT	December	In progress

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
25.	Report on the results of the reviews of and/or amendments to any Key Plan Documents	UOIT	December	Amendment to the Plan text for the legislative change to the definition of Spouse and subsequently filed with FSCO and CRA

*YMPE (Year's Maximum Pensionable Earnings)/35% of YMPE

- 2015 YMPE \$53,600/\$18,760
- 2016 YMPE \$54,900/\$19,215

Green-completed

Yellow-in progress

Red-outstanding

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P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

P&B STAFF : REGULATORY COMPLIANCE CHECKLIST

This checklist is intended as a guide to the regulatory responsibilities of UOIT as the administrator of the University of Ontario Institute of Technology Pension Plan (the “Plan”), an Ontario registered pension plan.

For the purpose of this checklist the following abbreviations are used:

Pension Benefits Act (Ontario)	PBA
Regulations under the Pension Benefits Act (Ontario)	PBA Reg.
Federal Investment Regulations (i.e. sections 6, 7, 7.1 and 7.2 and Schedule III to the PBSA Regulation, 1985 (Canada)	FIR
Income Tax Act (Canada)	ITA
Regulations to the Income Tax Act	ITA Reg.
Financial Services Commission of Ontario	FSCO
Canada Revenue Agency	CRA

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
(a) Filing of Plan Documents				
<input type="checkbox"/> File certified copy of plan amendments with Superintendent along with Form 1.1.	PBA s.12(1), (2)	Within 60 days after the date on which the plan is amended. November	P & B Staff	Done Legislative Spousal Amendment Filed with FSCO
<input type="checkbox"/> File with Superintendent certified copies of each document that changes the documents that create and support the plan or pension fund (e.g. trust documents). File with CRA as appropriate.	PBA s.12(3) ITA Reg. 8512(2)	Within 60 days after the date on which the plan is amended. July 24, 2003 September 13, 2004	AON Hewitt	Done UOIT DCP FSCO – Plan registration CRA – Plan registration
<input type="checkbox"/> File explanation of amendment transmitted to members with Superintendent.	PBA s.26(3) Reg. 3(4)	Within 6 months after registration of the amendment. (If amendment is adverse (i.e. reduces benefits or rights on a go forward basis), Superintendent may require explanation to be provided prior to registration.)	2017 /A	None
<input type="checkbox"/> If Superintendent dispenses with notice of the amendment required under s.26(3) of the PBA, then must provide notice of amendment with next annual statement to members.	PBA s.26(4), 27 Reg. 39(2)		2017 N/A	None
<input type="checkbox"/> File copy of notice of adverse amendment provided to members (if such notice was required) with Superintendent and certify details as to classes of persons who received notice, date when last such notice given and that notice was provided as required.	PBA s. 26(1) Reg. 3(3)	Within 30 days after the date on which the last of the notices was transferred. See under section (c) below regarding required disclosure of adverse amendments to members.	2017 N/A	None
<input type="checkbox"/> File certified copy of amendments with CRA along with form T920.	ITA 147.1(4) ITA Reg. 8512(2), (3)	Within 60 days after the date, the amendment is made. November	P & B Staff	Done Legislative Amendment to definition of Spouse

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
(b) Reporting Requirements				
<input type="checkbox"/> File an annual information return.	PBA s.20(1) Reg. 18(1), (6), (7) Reg. 37 ITA Reg. 8409(1), (2)	9 months after the plan's fiscal year end. November	P & B Staff	Done -filed with FSCO
<input type="checkbox"/> File financial statements (including auditors' report where plan assets exceed \$3 million)	Reg. 76	By June 30 of the year following the plan's fiscal year end. December	Finance and P & B Staff	Audited Financial Statements filed with FSCO
<input type="checkbox"/> Review SIP&P and amend/confirm annually.	Reg. 79 FIR, s.7.2(1)	April	SASC & P & B Staff	

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
(c) Disclosure to Members				
<input type="checkbox"/> Explain plan provisions to employees who will become eligible to join the plan.	PBA s. 25(2)(b) Reg. 38	At least 60 days before employees become eligible. Date of Hire or date employee meets with part-time pension eligibility criteria	Payroll and P& B Staff	Full time continuing Pension and Benefits Sign Up meeting (prior to date of hire) Less than full time or limited term employees' pension sign up once eligibility criteria met and member elects to join
<input type="checkbox"/> Explain Plan provisions to persons who become eligible for plan membership upon becoming employed.	PBA s. 25(2)(c) Reg. 38	Within 60 days after employees commence employment. Every eligible employee meets with P & B Staff for sign up Pension and Benefits Sign up meetings prior to date of hire for full time continuing employees. For less than full time employees - on or near the date in which the employee has met the required criteria to join the pension plan	P & B Staff	Eligibility for less than full time or Limited Term Employees 24 months of consecutive employment with the University having attained either: a) 700 hours in each of the 2 years or; b) 35% YMPE in each of the previous 2 years*
<input type="checkbox"/> Provide notice and explanation of non-adverse amendments to affected members.	PBA s. 26(3) Reg. 39(1)	Within 60 days after provincial registration.	2017 N/A	None

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
<input type="checkbox"/> Provide notice and explanation of adverse amendments to affected members if Superintendent requires.	PBA s.26(1), (2) Reg. 3(3), (4)	At least 45 days prior to registration of the amendment.	2017 N/A	None
<input type="checkbox"/> Provide annual statement of benefits as prescribed.	PBA s.27 Reg. 40(1), (2)	6 months after the plan's fiscal year end.	Sun Life	Pension Statements Quarterly on line Pension Statements mailed semi-annual to home address annually in January following year end
<input type="checkbox"/> Make documents that create and support the pension plan and other prescribed information available for inspection by members and others as entitled.	PBA s. 29, 30 Reg. 45	Within 30 days after receipt of written request.	P & B Staff	None
<input type="checkbox"/> Provide termination statement containing prescribed information for termination of employment in situations other than retirement or death.	PBA s. 28 Reg. 41(1), (2), 42	Within 30 days after termination of employment or, where notice of termination is not provided to the administrator prior to the event, within 30 days after receipt of such notice.	Sun Life	Termination statements are issued in 2 weeks from date of departure from the University
<input type="checkbox"/> Where a plan member who is not entitled to a pension or deferred pension terminates employment in situations other than retirement or death, the administrator must pay any refund to which the member is entitled.	Reg. 42(3), (4) 42. revoked: O. Reg. 178/12, s. 40	Within 60 days after termination or, where a member has an option for receiving a refund, within 60 days after receipt of a direction from the member.	Sun Life	Payments are made within 30 days upon receipt of member's election to transfer assets out of the UOIT DCP. P.

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
<input type="checkbox"/> Provide retirement statement and options for payment of pension.	PBA s.28 Reg. 44	<p>At least 60 days prior to the member's normal retirement date or the date at which the member has indicated he or she intends to retire.</p> <p>If the administrator does not receive adequate notice of the intended retirement to comply with the 60 day time requirement, the administrator shall provide the required information within 30 days following receipt by the administrator of a completed application for commencement of the pension.</p>	<p>Sun Life</p> <p>N/A</p>	<p>Sun Life transfers the value of the member's pension account in accordance with the member's election within 30 days of the receipt of the member's direction to transfer to a retirement income option.</p> <p>Commencement of pension directly from UOIT DCCP N/A</p>
<input type="checkbox"/> Provide statement of benefits payable upon death to spouse, beneficiary or estate.	PBA s.28 Reg. 43(1)	Within 30 days after receipt of notice of death of member or former member.	Sun Life	None
<input type="checkbox"/> Comply with surviving spouse's election regarding pre-retirement benefits.	Reg. 43(3)	Within 60 days after receiving direction from spouse or same-sex partner.	Sun Life	None
<input type="checkbox"/> In cases of marital breakdown, calculate the value of the pension, as requested by the member and/or spouse using Superintendent of Financial Services approved forms throughout the process.	PBA s. 67.1 – 67.6 Ont. Reg. 287/11 (Family Matters)	Within 60 days of receiving a completed application	Sun Life	One inquiry forms provided to plan member.

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
(d) Miscellaneous				
<input type="checkbox"/> If benefit transfer request made within 60 days of termination of employment, pay in accordance with request. Must ensure that transfers to retirement savings arrangements or deferred life annuities will be administered as pensions or deferred pensions.	PBA s.42(1), (5), (6), (7) Reg. 20	Within 60 days after request.	Sun Life	Processed upon receipt of termination option statement received from members by Sun Life.
<input type="checkbox"/> Ensure all contributions are paid when due.	PBA s.56(1) Reg. 4(4) Reg. 5(1)	Employer contributions in respect of normal costs: within 30 days after the month for which contributions are payable.	Payroll, P & B Staff	Contributions are invested by pay date. Contributions received before 2p.m. invested same day after 2p.m. next day
<input type="checkbox"/> Report to Superintendent if contributions are not made when they become due.	PBA s.56(2) Reg. 6.1	Within 60 days after the day on which the contribution was due.	Sun Life	None reported
<input type="checkbox"/> Provide pension fund trustee with a summary of contributions required to be made.	PBA s.56.1(1) Reg. 6.2(1)	Within 90 days after the pension plan is established for the first fiscal year and within 60 days after the beginning of each subsequent fiscal year.	N/A	Applicable when a contribution is <u>not</u> remitted No delays to report
<input type="checkbox"/> Provide pension fund trustee with a revised summary of contributions required to be made.	Reg. 6.2(2)	Within 60 days after becoming aware of a change in contributions.	N/A	Applicable when contribution is <u>not</u> remitted No delays
<input type="checkbox"/> Pension Adjustments must be reported to CRA in the appropriate manner.	ITA Reg. 8401	On or before the last day of February of the year following the end of the calendar year.	Payroll	Prior to February 28 of each year T4 distribution deadline

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2017 to December 31, 2017

	Legislation	Time Limit (if any)	Person Responsible	Comments
<input type="checkbox"/> Pension Adjustment Reversals must be reported to CRA.	ITA Reg. 8402.01	When the Termination occurs in the 1 st , 2 nd , 3 rd quarter of the calendar year, within 60 days after the last day of the quarter in which the termination occurs. When the termination occurs in the 4 th quarter, before February 1 of the following calendar year.	N/A	This applies to DB plans only and not the UOIT DCPP. No action required
<input type="checkbox"/> Where there is a change in the name or address of person who is administrator or persons who constitute the body that is the administrator, inform the Minister of National Revenue in writing within 60 days after the change.	ITA 147.1(7)(c)		N/A	No change

Green-completed

Yellow-in progress

Red-outstanding

P&B STAFF: KEY PLAN DOCUMENT CHECKLIST*

This checklist is designed to ensure that a complete record of the key documents used in the administration of the Plan and the administration and investment of the Fund is maintained in an accessible manner and that reviews of the key documents are carried out at regular intervals to ensure they are updated to reflect current information and practices.

P&B STAFF: KEY PLAN DOCUMENT CHECKLIST

January 1, 2017 to December 31, 2017

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
1.	Plan text	November	None	SASC & P & B Staff	Compliance review- Definition of Spouse as required by Ont. PBA plan text amended as required.
2.	Custodial Agreement (under Group Annuity Contract)	November	2022	N/A	RFP conducted Sun Life awarded business
3.	Record-keeping Agreement (Sun Life Service Fee Agreement)	November	2022	VP HR & Services	RFP conducted Sun Life awarded business
4.	Insurance Policy Sun Life Group Annuity Contract	November	2022	VP HR & Services	RFP conducted Sun Life awarded business
5.	Statement of Investment Policies and Procedures	May	As required	VP HR & Services	Review conducted by Mercer for GIC Trust Product
6.	Investment Consulting Agreement	January 2015	2020	VP HR & Services	Mercer Canada appointed

*A binder of key documents is retained in Human Resources by P & B Staff

Green-completed
Yellow-in progress
Red-outstanding

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
7.	Governance Documentation (including Board resolution approving UOIT Pension Plan Governance Structure and Functions Chart and Accountability Tool)	January 2017	2018	SASC	SASC annual certification, review and approval of Governance Documentation
8.	Employee Booklet	August	N/A	VP HR & Services and P & B Staff	Revisions for legislative definition of Spouse
9.	Service Provider Benchmarks	November	Pension & Benefits Provider 2022 Pension Investment Consultant 2020	SASC	2017 RFP conducted of Pension & Benefits providers

P&B STAFF: THIRD PARTY SERVICE REVIEW

This checklist is designed to ensure that agents and advisors retained by the Plan are meeting the performance standards expected by the Plan administrator. This is a particularly critical component of the governance system in the case of agents of the Plan administrator. For PBA purposes, an agent is a service provider that is performing a function that the administrator would otherwise have to perform itself (e.g., a record keeper or investment manager) and therefore it is particularly important to ensure the agent is meeting the PBA fiduciary standard of care (as the Plan administrator will be liable if it does not). Advisors fall into a different category since they only give advice to the administrator who makes the ultimate decision on the matter as part of its functions. Nonetheless it is important for the ongoing operations of the Plan that advisors are evaluated to ensure that they are providing their services to the expected standards. Finally, the external auditor falls into its own category in that it is performing specific functions under the PBA. Nonetheless, again, it is important for the Plan administrator to be satisfied that the external is providing its services to the expected standards and to report any issues to the Audit Committee.

A review of the services provided by employees of the Plan administrator should also be undertaken. This review generally occurs as part of the normal course HR processes. Board and management committees should perform self-evaluations at specified intervals (this should be addressed in a governance policy) or from to time may wish to commission third party evaluations of their governance of the Plan.

P&B STAFF: THIRD PARTY SERVICE REVIEW January 1, 2017 to December 31, 2017

No.	Item	Reviewed by	Completion Date	Action Required/ Taken/Comments
1.	Performance Review of Trustee/ Custodian	Mercer	November	Market Review Sun Life Next review 2022
2.	Performance Review of Investment Manager, i.e., provider of investment platform for the Plan	P & B advisory committee V.P. HR & Services	September 2017	Market Review Sun Life Next review 2022
3.	Performance Review of Record-Keeper	P & B advisory committee V.P HR & services	September 2017	Market Review Sun Life Next review 2022
4.	Performance Review of Investment Consultant	CFO, V.P. HR & Services, P & B Staff	December 2014	Effective January 2015 Contract awarded to Mercer –next review 2020
5.	Performance Review of External Legal Counsel	N/A	N/A	None required
6.	Performance Review of External Auditor	N/A	N/A	None required

Green-completed

Yellow-in progress

Red-outstanding

President's Equity Taskforce

Robert Bailey – Provost & Vice-President, Academic (Interim)

25 November 2017

“Our university celebrates and is strengthened by its diversity. By listening to voices from multiple perspectives among our students, faculty and staff, we better prepare our graduates for their careers, create knowledge that makes a difference for all of society, and more deeply engage our communities from local to global.”

Tim McTiernan, PhD, President and Vice-Chancellor

Introduction

Equity and inclusivity are fundamental values that define our institution. They drive innovation and excellence, enhance quality and integrity, and help us to achieve our potential as a university community. But we recognize that awareness of the value of equity and good intentions for a more equitable university community are not enough. We must examine and address discriminatory practices, policies and attitudes that constrain opportunity, innovation and achievement. President McTiernan asserts that an active Equity Plan will align with the university's mission and vision, and is a necessary step in achieving our strategic goals.

To remedy policies and practices that perpetuate inequity we need to recognize the groups most likely to experience barriers:

- Indigenous persons;
- Persons with a disability;
- Lesbian, Gay, Bisexual, Trans, Queer, 2-spirit, Non-binary (LGBTQ2+) persons;
- Racialized persons;
- Women.

Full representation and inclusion requires commitment to the idea that the academy benefits when it reflects society with diverse groups, perspectives, ideas and scholarship represented. As an example, Canadian universities have struggled to increase diversity among scholars who hold the prestigious Canada Research Chair (CRC). Despite the CRC program's long-standing goal of achieving equity and diversity targets, many universities have fallen short. To challenge this lack of diversity, Canada's Minister of Science set clear diversity goals for universities, demanding public commitments and plans, and the potential loss of allocated Chairs if the targets are not met. Equity and inclusion planning must be followed with action supported by the senior administration of each university.

Addressing Equity at UOIT

At UOIT, inequity and discrimination happen in many contexts, with diverse consequences. Stories of discrimination on campus are common, and they emphasize a growing awareness and inspiration that this discrimination must be addressed. The expectation of government, institutional stakeholders, and the public are for plans and actions to identify inequities and discriminatory practices and, more importantly, to remedy them.

Examples of current work at UOIT include:

- A Letter of Understanding between UOIT and its Faculty Association encouraging more deliberate strategies for becoming an equitable and inclusive organization;
- Active bystander training for students and employees;
- Policies and procedures for students and employees to oppose sexual violence;
- A working group to address new equity and diversity requirements of the Canada Research Chair program;
- A team of Student Equity Ambassadors who develop and deliver programming on inclusivity, equity, wellness, and social change;
- A Women in Science Committee to discuss issues facing female researchers at our institution and in their broader disciplinary environments.

These disparate initiatives underscore the need for a more coordinated institutional strategy. Already it is clear that addressing discriminatory practices at the university requires:

- Investigating and naming the issues faced by those discriminated against;
- Acknowledging the impact of discrimination;
- Constructing, with those affected, viable solutions and remedies; and
- Implementing practices that reduce discrimination and inequity.

The way forward also requires consolidating university-wide equity and inclusion efforts that could achieve more if done in a more public and collaborative manner. To this end, the President has tasked Robert Bailey, Provost and VP Academic, to assemble a coordinated group, the President's Equity Taskforce.

President's Equity Taskforce (PET) Mandate

The mandate of the PET includes preparation of a comprehensive inventory of existing and suggested equity, diversity and inclusion initiatives within the context of the university's mission, and to provide recommendations to those initiatives, as appropriate, based on broad consultation.

The goal of the PET is to mobilize a diverse movement of people across the university to create and establish equitable and inclusive practices at UOIT within a three-year term. Specifically, it will:

- Advise on the development of strategies for implementing the best equity and inclusion policies and practices at UOIT;
- Advise on equity and inclusion training and programming;
- Identify ongoing initiatives at the university and coordinate complementary efforts;
- Increase outreach efforts to diverse communities, and
- Assist and advise in the analysis of workforce and employment systems to identify and propose solutions for areas of inequality and discrimination.

The work of the PET will be done through broad consultation across the university community, including faculty, students, administrative staff, and other groups (e.g. UOIT Student Union, UOIT Faculty Association, Women in Science Committee, Indigenous Education Advisory Circle, Healthy Sexuality Committee), as well as external community partners.

Membership

The President's Equity Taskforce will consist of nine members and report to the Provost, who will be an *ex officio* member.

Chair - Faculty Member appointed by the Provost
 AVP Human Resources or delegate
 AVP Student Life or delegate
 VP Research, Innovation & International or delegate
 Dean appointed by the Provost
 Faculty Members (3) appointed by the Provost
 Provost (ex-officio)

Support

The President's Equity Taskforce will be supported by the Office of the Assistant Vice-President Planning & Administration.



PRESIDENT'S INDIGENOUS RECONCILIATION TASKFORCE

15 December 2017

Robert Bailey - Provost & VP Academic (Interim)

BACKGROUND

In December of 2015, the Truth and Reconciliation Commission (TRC) released their findings on Indian Residential Schools. There were a number of calls to action in this report that highlighted the role that post-secondary education institutions should play to work towards reconciliation and ultimately eliminating the educational and employment gaps between Indigenous and non-Indigenous Canadians. In June 2016, Dr. Rachel Ariss and Dr. Tom McMorrow summarized their discussions and work on this from a UOIT perspective in *UOIT's Role in Reconciliation: Options and Opportunities in Indigenizing Curricula*. This report was written with support of our Indigenous community - specifically, the guidance of Elder Shirley Williams and participation from community partners and students and staff in Indigenous Education and Cultural Services. It has been reviewed and received support from the UOIT's Indigenous Education Advisory Circle (IEAC), all seven Faculty Councils, Academic Council, and the Board of Governors.

The report included eight proposals for action at UOIT in response to the TRC. These include increased Indigenous content and perspectives in UOIT courses and programs, equitable admissions and hiring policies, staff and faculty training and development, improved Indigenous cultural and artistic representation on campus, and expanded efforts to recruit Indigenous learners. Ultimately, the report encourages continued community engagement and dialogue on the ways in we can collectively work towards reconciliation. UOIT will establish a President's Indigenous Reconciliation Taskforce (PIRT) to review these proposals and set a path forward for moving towards its goals and reporting on progress to Administrative Council and Academic Council. Its work will be informed by wisdom and feedback from the Indigenous Education Advisory Circle (IEAC).

1. PURPOSE

The purpose of the President's Indigenous Reconciliation Taskforce (PIRT) is to work in consultation with the Indigenous Education Advisory Circle (IEAC) to review the goals and recommendations of the report "UOIT's Role in Reconciliation: Options and Opportunities for Indigenizing Curricula", identify strategic priorities, determine measurable objectives and resource implications and ultimately create a three-year plan designed to increase our capacity to recruit, support, retain and graduate Indigenous learners.

2. MEMBERSHIP

- Co-Chair - UOIT Faculty Member appointed by the Provost (also Co-Chair of Indigenous Education Advisory Circle)
- Co-Chair - Local First Nation Community Member also Co-Chair of Indigenous Education Advisory Circle)
- First Nation Elder
- Education Advisor/Manager/Director, Mississaugas of Scugog Island First Nation
- Chair, Equity, Diversity & Inclusion Taskforce
- Associate Dean, Teaching and Learning or delegate
- Associate Dean, Quality Enhancement or delegate
- Associate Registrar, Enrolment Management or delegate
- AVP Human Resources or delegate
- AVP Student Life or delegate
- Indigenous Cultural Advisor
- Indigenous Programming Specialist
- Two Indigenous UOIT Students (also members of the President's Indigenous Education Advisory Circle)

Members serve for a two-year, renewable term. Membership that is not ex officio will be recommended by the Co-Chairs and approved by the Provost.

3. DECISION MAKING

The President's Indigenous Reconciliation Taskforce will provide recommendations to the Provost after receiving approval from the Indigenous Education Advisory Circle and keep that office apprised on its progress and directions on a regular basis through the co-chairs.

4. MEETINGS

The task force will meet at least four times during the academic year, with additional meetings as determined by PIRT members.

5. SUPPORT

Support for the IEAC (e.g. meeting and travel expenses) will be provided by the Provost's Office.