

Thursday, March 28, 2019

1:15 p.m. – 4:50 p.m.**

North Campus, ERC 3023

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

Members: Francis Garwe (Chair), Doug Allingham, Lisa Edgar, Laura Elliott,
Kori Kingsbury, Steven Murphy, Trevin Stratton

Staff: Jamie Bruno, Robert Bailey, Becky Dinwoodie, Cheryl Foy

AGENDA

No.	Topic	Lead	Allocated Time	Suggested End Time
	PUBLIC SESSION – 2:00 p.m.			
1	Call to Order	Chair		
2	Agenda (M)	Chair		
3	Conflict of Interest Declaration	Chair		
4	Approval of Minutes of the Meeting of January 17, 2019* (M)	Chair		
5	Chair's Remarks	Chair		2:05 p.m.
6	President's Remarks	S. Murphy	10	2:15 p.m.
7	Governance			
7.1	Annual Board Practices Assessment* (D)	C. Foy	10	2:25 p.m.
7.2	Board Engagement			
(a)	Board Portal	B. Dinwoodie	5	2:30 p.m.
(b)	Strategic Discussion: Community & the Board (D)	S. Murphy	20	2:50 p.m.
	Policy:			
7.3	2018-2019 Policy Activity Update* (U)	C. Foy	10	3:00 p.m.
8	Nominations			
8.1	2019-2020 Election Results* (M)	B. Dinwoodie	5	3:05 p.m.
9	Human Resources			
9.1	Annual Pension Plan Governance Report* (I)	C. Foy	10	3:15 p.m.
10	Other Business	Chair		
11	Adjournment (M)	Chair		3:20 p.m.
	BREAK			

Board Portal training session from 1:15-1:45 p.m.

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

No.	Topic	Lead	Allocated Time	Suggested End Time
	NON-PUBLIC SESSION (material not publicly available)			3:30 p.m.
12	Call to Order	Chair		
13	Conflict of Interest Declaration	Chair		
14	Approval of Minutes of the Meeting of January 17, 2019* (M)	Chair		3:35 p.m.
15	President's Remarks	S. Murphy	5	3:40 p.m.
16	Human Resources			
16.1	Labour Relations & Human Resources Update* (M)	R. Bailey & J. Bruno	15	3:55 p.m.
16.2	Human Resources & the Board (D)	S. Murphy	15	4:10 p.m.
17	Nominations			
17.1	Board Recruitment, Leadership & Committee Composition for 2019-2020* (D)	C. Foy	15	4:25 p.m.
17.2	Review of Co-Opulous Joint Procedure* (D)	D. Allingham	10	4:35 p.m.
18	Other Business	Chair		
19	<i>In Camera</i> Session (M)	Chair		
20	Termination (M)	Chair		4:50 p.m.

Becky Dinwoodie, Secretary

Board Portal training session from 1:15-1:45 p.m.

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



**BOARD OF GOVERNORS
Governance, Nominations and
Human Resources Committee (GNHR)**

**Public Session Minutes for the Meeting of January 17, 2019
2:00 p.m. – 2:55 p.m., ERC 3023**

Attendees: Francis Garwe (Chair), Laura Elliott (*videoconference*), Kori Kingsbury, Steven Murphy (*teleconference*), Trevin Stratton (*videoconference*)

Staff: Becky Dinwoodie, Cheryl Foy

Guests : Mike Eklund, Christine McLaughlin

Regrets: Doug Allingham, Lisa Edgar

1. Call to Order

The Chair called the meeting to order at 2:09 p.m.

2. Agenda

Upon a motion duly made by K. Kingsbury and seconded by T. Stratton, 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 October 11, 2018

Upon a motion duly made by T. Stratton and seconded by K. Kingsbury, the Minutes were approved as presented.

5. Chair's Remarks

The Chair wished everyone a Happy New Year and welcomed them to the first committee meeting of the year. He encouraged the members to actively engage during the meeting. The Chair invited the guests to introduce themselves.

6. President's Remarks

The President discussed the government's recent announcement of tuition cuts. He confirmed that the tuition for domestic students will be cut by 10% next year. There will also be changes to OSAP funding and to the student ancillary fees model. With respect to ancillary fees, students will have the option to opt out of certain fees. These changes must be examined to determine the impact on our students' services. The government has not announced any changes to the base grant funding. The tuition fees will be frozen for 2020-2021. The reduction to tuition fees will have a significant impact on the university's budget. The President responded to questions from the committee members.

7. Governance

7.1 Faculty Governor Working Group Recommendations:

- **Board of Governors Recruitment, Appointment and Leadership Policy**
- **Teaching Staff Nominee Election Form**

C. Foy presented the proposed changes to the policy for the committee's recommendation. She reminded the committee that the amendments were initially presented to the committee in the fall for comment. She responded to the committee's questions.

Upon a motion duly made by L. Elliott and seconded by K. Kingsbury, pursuant to the recommendations of the Faculty Governor Working Group, the Governance, Nominations & Human Resources Committee recommended the amended Board of Governors Recruitment, Appointment and Leadership Policy for approval by the Board of Governors, as presented.

7.2 By-laws Implementation:

- **Academic Council's Governance & Nominations Committee**

C. Foy provided an update on the implementation of the new By-laws, which came into effect on September 1, 2018. She walked through the work plan of the new Governance & Nominations committee of Academic Council (GNC), which will be holding its first meeting in November.

7.3 Board Engagement:

- **Board Portal**

B. Dinwoodie provided a status update on the implementation of the Board portal. A kick-off meeting with Passageways took place on January 11. The portal will be introduced to the governors at the committee meetings starting in March. Introductory training sessions will be held immediately before each spring committee meeting and one-on-one sessions will also be available.

Policy & Compliance:**7.4 Compliance Update**

C. Foy provided a compliance update. The university recently enacted an interim smoke-free campus policy and will continue to conduct consultations. There are also ongoing consultations on the Student Sexual Violence Policy and Procedures.

7.5 Policy:**(a) Board of Governors Procedures for Election of Faculty, Non-Academic Staff & Student Governors**

C. Foy presented the proposed amendments to the procedures for approval, which were initially reviewed by the committee at the October meeting.

Upon a motion duly made by L. Elliott and seconded by T. Stratton, the Governance, Nominations & Human Resources Committee approved the amended Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors, as presented.

8. Nominations**8.1 2019-2020 Election Process**

B. Dinwoodie reviewed the proposed election timeline. She confirmed that the Board and Academic Council elections are run concurrently to maximize efficiencies.

Upon a motion duly made by K. Kingsbury and seconded by L. Elliott, pursuant to the recommendation of the Chief Electoral Officer, the Governance, Nominations and Human Resources Committee approved the proposed 2019-2020 Board of Governors Election Timeline, as presented.

9. For Information:**9.1 Board of Governors Policy Review Update:****(a) Attendance Policy****(b) Meeting Policy & Procedures**

C. Foy provided a brief overview of the results of the reviews. A guest, M. Eklund, interrupted and asked the Chair if the committee would consider amending the Board Meeting Procedures to allow members of the public to ask questions during public meetings. M. Eklund advised that he had missed providing this feedback during the online consultation period for the procedures. The Chair responded that the consultation procedures in place should be followed. C. Foy raised a point of order and advised the Chair that members of the public in attendance are not permitted to direct questions or comments to the committee.

10. Other Business

11. Adjournment

There being no other business, upon a motion duly made by T. Stratton and seconded by L. Elliott, the public session of the meeting adjourned at 2:46 p.m.

Becky Dinwoodie, Secretary

DRAFT



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

TO: Governance, Nominations & Human Resources Committee

DATE: March 28, 2019

PRESENTED BY: Cheryl Foy, University Secretary & General Counsel

PREPARED BY: Becky Dinwoodie, Assistant University Secretary

SUBJECT: Board Practices Assessment 2018-2019

COMMITTEE MANDATE:

- In accordance with the Governance, Nominations & Human Resources Committee’s (GNHR) Terms of Reference, the committee is responsible for developing, implementing & monitoring procedures for assessing the effectiveness of the Board and its committees.
- We are seeking the committee’s direction with respect to the timing and means of completing the Board Practices Assessment for 2018-2019.

BACKGROUND/CONTEXT & RATIONALE:

- As a result of comments made during the 2014-2015 assessment process, the Committee conducted a substantive review of the assessment form in March 2017.
- The updated form was used to conduct the 2016-2017 and 2017-2018 assessments.
- As directed by the committee in January 2017, the annual assessment for the past two years was conducted by distributing and collecting the assessment by e-mail.
- The assessments were conducted during the month of May, which allowed the committee to review the results & make recommendations prior to the June AGM.
- The response rates for the past several years are set out below:
 - 2017-2018: 20/23 governors (87% - 4% higher than 2016-2017)

- 2016-2017: 20/24 governors (83%)
- 2014-2015: 90% (conducted by online poll immediately prior to a Board meeting)
- 2013-2014: 46%
- The 2015-2016 online poll assessment was not conducted due to timing constraints at meetings.
- In addition to evaluating the Board's effectiveness, the information collected from the assessment is used to guide the upcoming year's governance priorities.

Board Portal:

- The new Board portal, OnBoard, has the functionality to conduct a survey, monitor the responses, and to compile the responses into a report.

Recommendation:

- We recommend using OnBoard to conduct the 2018-2019 Annual Practices Assessment for review by the committee at the May meeting.

COMPLIANCE WITH POLICY/LEGISLATION:

- Conducting the assessment supports GNHR's fulfilment of its mandate under the Terms of Reference.

NEXT STEPS:

1. Based on the committee's direction, the Office of the University Secretary & General Counsel will upload the questions from the assessment form onto the portal.
2. The Chair of GNHR will inform the Board of the new assessment method at the Board meeting on April 24 and the survey will open.
3. The USGC will provide GNHR with a summary of the results for review at the GNHR meeting in May.

SUPPORTING REFERENCE MATERIALS:

- Board Practices Assessment Form



BOARD OF GOVERNORS 2017-2018 Board Practices Assessment

This Board Practices Assessment Questionnaire is designed to assist the Board to evaluate its own effectiveness. The questions provide an opportunity for Governors to indicate whether the structure and conduct of meetings, and the information and support received enable them to participate effectively in the governance of the University. Understanding this information will provide key information for improving Board processes.

This year the Board Practices Assessment will be conducted via e-mail.

The questionnaire is a mix of multiple-choice and short-answer questions based on the following categories:

- Board Effectiveness
- Structure of the Board
- Board Meetings
- Individual Board Involvement

In each category, we ask you to indicate your agreement with a series of statements based on the following scale:

- 1 – Strongly Agree
- 2 – Agree
- 3 – Neither Agree nor Disagree
- 4 – Disagree
- 5 – Strongly Disagree
- 6 – NR (No response – if you cannot comment on a statement).

The responses you submit will be seen only by the Secretary and Chair of the Board and will be held in strict confidence. The Secretary will collate the responses to the assessment form and the Chair will present the results to the Board, without attribution, for information and discussion.

Please complete the assessment as soon as possible and by no later than **May 24** in order to allow time for the results to be compiled and presented to the Governance, Nominations and Human Resources Committee at their meeting on **May 31**.

Board Effectiveness

In this section of the assessment, please indicate your level of agreement for how each of the following contributes to the effectiveness of the Board in its practices and performance.

1. The Board as a whole has a clear understanding of the University's mission.
2. The Board as a whole has a clear understanding of the University's strategic plan.
3. The University's strategic goals are clear.
4. The University's strategic goals serve as a useful guide to the Board in the deliberations and policy making decisions.
5. The Board is provided with adequate information at meetings for effective decision-making.
6. The Board is provided with adequate resources prior to meetings for effective decision-making.
7. The Board has sufficient engagement with Academic Council.
8. The Board has effective engagement with Academic Council.
9. The Board understands the distinction between the responsibilities of its role and the role of the administration.
10. The Board has the opportunity to discuss matters of critical importance before decisions are made.
11. The Board has the opportunity to ask questions of critical importance before decisions are made.
12. The Board ensures that members receive reports on how our organization has used its financial resources.
13. The Board knows the major challenges facing this university.
14. The Board knows the major opportunities facing this university.
15. The Board schedules sufficient time to discuss long term strategic issues.
16. Evaluation and reporting of Board performance is useful in improving the practices of the Board.

In this section, please provide a short-answer response to the following:

17. In my view, the Board's most significant achievement in the past year was:
18. In my view, the most important thing the Board could do to improve its effectiveness is:
19. Please provide any feedback regarding the statements above or any additional comments and suggestions you would like to provide.

Structure of the Board

In this section of the assessment, please indicate your level of agreement with each of the following statements regarding the structure of the Board and its Committees.

1. The Board has an effective committee structure for its needs.
2. The Board makes good use of its committees.
3. The level of delegation of authority to the Board Committees is appropriate.
4. Board committees act appropriately within the delegation of authority (i.e. routine matters are resolved and significant matters are properly recommended to the Board).
5. Work done at the committee level can be relied on when considering items brought forward to the Board for review and approval.
6. The Board has an effective orientation program for newly elected Board members.
7. The Board has a diversity of representation (gender, ethnicity, profession).
8. The Board has effective recruitment strategies to assess needs for, identify and attract new Board members.

Please provide a short-answer response to the following:

9. Please provide any feedback regarding the statements above or any additional comments and suggestions you would like to provide.

Board meetings

In this section of the assessment, please indicate your level of agreement with each of the following statements regarding the function of the Board meetings.

1. Board meetings are strategic.
2. Board meetings focus on priority issues.
3. Discussions are informative.
4. Discussions are productive.
5. Discussions occur in a respectful manner.
6. The meeting documentation provides adequate information for preparation prior to a meeting.
7. The agenda is well-planned so that the Board is able to get through all necessary business.
8. Board members are well apprised of issues prior to making a decision.

Please provide a short-answer response to the following:

9. Please provide any feedback regarding the statements above or any additional comments and suggestions you would like to provide.

Individual Board Involvement

In this section of the assessment, please indicate your level of agreement with each of the following statements regarding your individual involvement in the Board.

1. My abilities fit well with the strategic demands facing the University.
2. My abilities are being used effectively in my role(s) on the Board.
3. My abilities are being used effectively in my role(s) on the Board's committees.
4. My abilities are being used effectively to support the University's government relations strategy.

5. My abilities are being used effectively to support the University's advancement strategy.
6. My time is well-utilized at Board and committee meetings.
7. I read the minutes, reports and other materials in advance of Board and Committee meetings.
8. I am familiar with what is in University of Ontario Institute of Technology's Act, By-Laws and governing policies.
9. When I have a different opinion than the majority, I raise it.
10. I support Board decisions once they are made even if I do not agree with them.
11. I have taken advantage of opportunities made available to Governors to interact with faculty and students during my term.
12. I believe that I am able to contribute effectively to the Board's work.
13. I believe that I am able to contribute effectively to the University of Ontario Institute of Technology University.
14. Overall my experience as a Board member has been positive.

Please provide a short-answer response to the following:

15. Please provide any feedback regarding the statements above or any additional comments and suggestions you would like to provide.



COMMITTEE REPORT

SESSION:

Public
Non-Public

ACTION REQUESTED:

Decision
Discussion/Direction
Information

TO: Governance, Nominations and Human Resources Committee

DATE: March 18, 2019

FROM: Cheryl Foy, University Secretary & General Counsel

PREPARED BY: Niall O’Halloran, Policy & Compliance Advisor

SUBJECT: Policy Activity Report

COMMITTEE MANDATE:

- In accordance with its Terms of Reference, the Governance, Nominations and Human Resources Committee (GNHR) is responsible for periodically reviewing relevant university policies, making recommendations to the relevant governing body or administrative department for development and revision when appropriate.
- As part of this responsibility, GNHR receives regular reports on policy development and approvals at the University.

BACKGROUND/CONTEXT & RATIONALE:

- The purpose of this Report is to provide the Committee with an update on the status of Policy from March 1, 2018 to March 1, 2019, which includes the period since the approval of amendments to the UOIT Policy Framework on June 27, 2018. Over the past year, 22 new or amended policy instruments have been approved by approval authorities in accordance with the Policy Framework. A complete list is provided as part of supporting documentation.
- The tables below track support of policy instrument development provided by the Compliance and Policy Office over the past four years. We note a significant increase in the past year. A complete list of the ongoing policy projects is provided as part of supporting documentation.

- TABLE 1: Overall Policy Support 2015-16 to 2018-19

Year	Drafting	Recommendations	Consultation
2015-16	17	23	18
2016-17	6	11	5
2017-18	8	28	29
2018-19	23	35	42

- TABLE 2: Policy Support by Unit March 1, 2018 to March 1, 2019

Unit	Drafting	Recommendations	Advice
University Secretary and General Counsel	15		
Student Life	4	5	1
Research Services		13	7
Communications and Marketing	1		2
Centre for Institutional Quality Enhancement		4	2
External Relations		1	
Finance		3	3
Human Resources	2	2	1
IT Services			2
Graduate Studies			8
Registrar's Office		4	14
Teaching and Learning		3	

COMPLIANCE WITH POLICY/LEGISLATION:

- The report considers the University's policy instruments in development under the UOIT Policy Framework. The Policy and Compliance Office provides support to key policy work to ensure legislative compliance. The office also advises policy leads on steps to take to ensure compliance with the UOIT Policy Framework.

NEXT STEPS

- Review the Report and supporting documentation and highlight concerns, provide comments and direction.

SUPPORTING DOCUMENTATION

- 2018-19 Policy Approvals
- List of Policy Projects in Progress

Policy Instrument Approvals (March 1, 2018 – March 1, 2019)

LEGAL, COMPLIANCE & GOVERNANCE		
Policy Instruments that relate to: broader institutional planning and governance issues, management of institutional risk, accountability and legislative requirements, and academic governance matters outside those authorities explicitly delegated by the Board to Academic Council.		
Title	Approval Date	Approval Authority
Procedures for the Development, Approval and Review of Policy Instruments	May 31, 2018 (A)	Governance, Nominations and Human Resources Committee
UOIT Policy Framework	June 27, 2018 (A)	Board of Governors
Procedure for On-Campus Medical Cannabis use by Students	November 19, 2018	Audit and Finance Committee
Freedom of Expression Policy	November 29, 2018	Board of Governors
Signing Authority Registry and Approval Procedures (Interim)	November 29, 2018 (A)	Board of Governors
Statement of Investment Polices	February 28, 2019 (A)	Board of Governors
University Continuity Management Framework Policy	February 28, 2019	Board of Governors

BOARD		
Policy Instruments that relate to the governance and administration of the Board of Governors.		
Title	Approval Date	Approval Authority
Board of Governors Procedures for the Election of Administrative Staff, Student and Teaching Staff Governors	January 17, 2019 (A)	Board of Governors
Board of Governors Recruitment, Appointment and Leadership Policy	February 28, 2019 (A)	Board of Governors

(A) – amendment

ACADEMIC		
Policy Instruments that relate to academic governance and administration within the delegated authority to Academic Council from the Board.		
Title	Approval Date	Approval Authority
Final Examination Chief Proctor Directives	March 20, 2018	Academic Council
Final Examination Emergency and Disruption Directives	March 20, 2018	Academic Council
Undergraduate Alternate Pathways Policy - Ontario Colleges	May 15, 2018	Academic Council
Course Nomenclature Guidelines	October 23, 2018 (A)	Academic Council
Undergraduate Academic Regulations – Editorial Amendments	January 22, 2019 (A)	Provost
Graduate Academic Regulations – New Regulations	January 22, 2019	Academic Council
Graduate Academic Regulations – Substantive Amendments	January 22, 2019 (A)	Academic Council

ADMINISTRATIVE		
Policy Instruments that relate to the ongoing management and operations of the University and that have application across more than one organizational unit.		
Title	Approval Date	Approval Authority
Provost And Vice-President, Academic Appointment And Renewal Procedures	March 16, 2018	President
Vice-President Responsible for Research Appointment and Renewal Procedures	March 16, 2018	President
Emeritus/Emerita Professorship Policy	April 23, 2018 (A)	Senior Leadership Team
Emeritus/Emerita Professorship Nomination Procedures	April 26, 2018 (A)	Provost and VP Academic
Expense Procedure: Payments to Research Participants	September 11, 2018	University Administrative Council
Interim Smoke Free Campus Policy	October 11, 2018 (A)	President

(A) – amendment

List of Policy Projects in Progress

Date: March 18, 2018

Priority Projects: Office of the University Secretary and General Counsel

Title	Unit	Policy Lead	Type of Project	Category	Status	Mandatory Consultation and Approval Path
Contract Management Policy & Procedures	USGC	Cheryl Foy	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Signing Authority Policy & Procedures & Register	Finance	Craig Elliot	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Intellectual Property	Research	TBD	Amendment	LCG	With IP Committee	
Code of Ethics and Conduct	USGC	Andre Luzhetskyy	New	LCG	Drafting	

Priority Projects: Office of Student Life

Title	Unit	Policy Lead	Type of Project	Category	Status
Student Conduct & Investigation	OSL	Olivia Petrie	Substantive Amendment New PI	LCG	Draft
Student Judicial Committee	OSL	Olivia Petrie	New	LCG	Draft
Student Sexual Violence	OSL	Olivia Petrie	Amendment	LCG	Consultation
Accommodations related to Sexual Violence	OSL	Heather Leckie	New – Directive under SSV Policy	LCG	TBD

Priority Projects: Research Services

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
BC – Board Committee

PAC – Policy Advisory Committee
BOG – Board of Governors

RB – Research Board

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Animal Care Policy (6 instruments)	Research	Janice Moseley	Substantive Amendment New PI (4 Procedures)	LCG	Online Consultation	ALT/RB/AC/BC/BOG
Research Ethics	Research	Janice Moseley	Substantive Amendment	LCG	PAC Assessment	PAC/OC/RB/AC/ALT/BC/BOG

Other Policy Projects in Development

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Smoke Free Campus (Cannabis Legalization)	HR	Jamie Bruno	Substantive Amendment/Policy Review	ADM	Interim Policy Approved / Deliberation	ALT/President
Academic Schedule Guidelines	Registrar	Kristen Boujos de Breceda	New	ADM	Online Consultation	VP
Fit for Duty (Cannabis Legalization)	HR	Joanne Evans	New	ADM	Revisions to Draft	PAC/UAC/OC/AC/President
Procedures for Managing Allergies on Campus	OSL	Heather Leckey	New	LCG	PAC Assessment	TBD
Policy Against Violence, Harassment and Discrimination in the Workplace	HR	Jamie Bruno	Policy Review	LCG	Board Committee	Health and Safety
IT Security Policy/ies	UOIT-IT/DC-IT	TBD	New / Substantive Amendments	TBD	Drafting	TBD
PCI Compliance Policy/ies	UOIT-IT/DC-IT	TBD	New	TBD	Drafting	TBD
Radiation Safety	Research	Jennifer Freeman	Amendment – TBD	LCG	Mandatory Consultation	OC/AC/A&F/BOG
Biosafety	Research	Jennifer Freeman	Amendment – TBD	LCG	Mandatory Consultation	OC/AC/A&F/BOG

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
BC – Board Committee

PAC – Policy Advisory Committee
BOG – Board of Governors

RB – Research Board

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Responsible conduct of research	Research	Jennifer Freeman	Amendment – TBD	LCG		
Research entities	Research	Jennifer Freeman	Amendment – TBD	LCG		
Conflict of Interest in Research	Research	Jennifer Freeman	Amendment – TBD	LCG		
Indirect Cost of Research	Research	Jennifer Freeman	Amendment New Procedure	ADM		
Ownership of Research Equipment	Research	Jennifer Freeman	New			
Adjuncts	TBD	TBD				
Canada Research Chair Procedures	Research	Jennifer Freeman	New (5 procedures)	TBD	Mandatory Consultation	TBD
International Travel for Faculty and Staff	TBD	TBD	New	TBD	Initial Consultation	TBD
International Travel Procedures	TBD	TBD	New	TBD	Initial Consultation	TBD
Accessibility Policy	FSSH	Allyson Earner Wesley Crichlow	Substantive Amendment	LCG	Initial Consultation	TBD
University Vehicles	USGC	Jacquelyn Dupuis	New	TBD	Drafting	
UAV/Drone Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	PAC Assessment	PAC/OC/AC/ALT/President
Field Trip Risk Management and Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	PAC Assessment	PAC/OC/AC/ALT/President
University Event Risk Management and Approval Guidelines	USGC	Jacquelyn Dupuis	New	LCG	Drafting	OnCon/PAC/AC/VP
Digital Learning Resources	CIQE	Nichole Molinaro	New	ACD	Deliberation	CPRC/GSC/AC
Flag Usage	C&M	Melissa Levy	New	ADM	Online Consultation	AC/ALT/President

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
BC – Board Committee

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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Responding to the Death of a Student	C&M	Melissa Levy	Substantive Amendment	ADM	Online Consultation	OnCon/AC/ALT
Administrative Leave	HR	Krista Secord	New	ADM	PAC Assessment	OnCon/AC/ALT/President
Review of Alleged Breach of Confidentiality	HR	TBD	New	LCG	PAC Assessment	OnCon/AC/ALT/President
Academic Integrity	TLC	Rupinder Brar	Substantive Amendment	LCG	Consultation	PAC/OnCon/CPRC/GSC/AC/ALT/BC/BOG
Convocation Arrangements - Graduand Family Member	RO	Kristen Boujos	New	ADM	Consultation/Drafting	ALT/OnCon/CPRC/GSC/AC
Procedures for Review of Academic Standing	FHSci	Lori Livingston	New	Local ADM	Consultation	Faculty Council/Dean
Committee and Working Group Approval	USGC	Niall O'Halloran	New	LCG	PAC Assessment	OC/ALT/AC/BC/BOG
Policy Review Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Policy Drafting Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Procurement	Finance	Kevin Jones	Amendment	LCG	Drafting	
Course Nomenclature	CIQE	Nichole Molinaro	Amendment	ACD	Drafting	
Program Nomenclature	CIQE	Kimberley McCartney-Young	Amendment	ACD	Drafting	
Quality Assurance Framework	CIQE	Nichole Molinaro	Substantive Amendment	ACD	Drafting	
Board Ethics	USGC	TBD	New	Board	Drafting	
Communications	C&M	John MacMillan	New	ADM	Drafting	
Access to Labs *	FBIT	Andrew Hogue	New	TBD	Initial Consult	
Administrative Unit Review	CIQE	Nichole Molinaro	New	TBD	Initial Consult	
Gender Identification	RO	Joe Stokes	New	LCG	Online Consultation	BC/BOG

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
PHIPA Privacy and Health Record Access and Custody Procedure	USGC	Niall O'Halloran	New	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Recording of Lectures	OSL	Heather Leckey	New (Procedure under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Guidelines for Memory Aids	OSL	Heather Leckey	New (Guideline under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/President
Service Animals Procedure	OSL	Heather Leckey	Amendment (Procedure under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Lactation Space Policy	OSL	Akeisha Lari	New	TBD	Drafting	
Volunteer	USGC	Jacqueline Dupuis	New Policy	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Admissions Equity Policy	RO	Joe Stokes	New Policy	ACD	Drafting	OC/CPRC/AC
Research Volunteer	TBD	TBD	New	ADM	Consultation	
Visiting Scholar	TBD	TBD	New	TBD	Initial Consult	
UOIT Library Use Policy	Library	TBD	Amendment	TBD	Parking Lot	
Acceptable Use of Technology	ITS	TBD	Substantive Amendment	TBD	Parking Lot	
Emergency Preparedness plan	USGC	TBD	Editorial Amendment	TBD	Parking Lot	
Anti-Violence for Visitors and Volunteers	TBD	TBD	New	TBD	Parking Lot	
Fitness to Study	OSL	TBD	New	TBD	Parking Lot	
Halloween Attire		TBD	New	TBD	Parking Lot	
Medical Notes	RO	TBD	New	TBD	Parking Lot	
Meeting with Students	TBD	TBD	New	TBD	Parking Lot	
Umbrella Policy on Violence, Sexual Violence, Harassment and Discrimination		TBD	New	TBD	Parking Lot	

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
BC – Board Committee

PAC – Policy Advisory Committee
BOG – Board of Governors

RB – Research Board

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Video Surveillance Policy		TBD	New	TBD	Parking Lot	
Workplace Accommodations for Employees with Disabilities	HR	TBD	New	TBD	Parking Lot	
Poster	C&M	TBD	New	ADM	On Hold	PAC/OC/AC/ALT/President

OC – Online Consultation
AC – Academic Council

ALT –Administrative Leadership Team
BC – Board Committee

PAC – Policy Advisory Committee
BOG – Board of Governors

RB – Research Board



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

TO: Governance, Nominations & Human Resources Committee

DATE: March 28, 2019

FROM: Becky Dinwoodie, Assistant University Secretary

SUBJECT: 2019-2020 Board Election

COMMITTEE MANDATE:

- One of the committee’s responsibilities under its Terms of Reference is to oversee the process of electing new governors & recommending their appointment to the Board, in accordance with the *UOIT Act & By-laws*.
- We are reporting on the election process & result of the 2019-2020 Board of Governors Election.
- We are seeking the committee’s recommendation of the appointment of the successful student governor candidate, Owen Davis.

BACKGROUND/CONTEXT & RATIONALE:

- The 2019-2020 Board of Governors Election took place from February 11 – February 25 in accordance with the Election Timeline that was approved by the committee in January 2019.
- There was only 1 vacant position:
 - Student Governor
- Only one nomination for the role was received during the Nomination Period.
- The candidate’s eligibility has been confirmed.
- In accordance with section 4.7 of the Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Student Governors (“Election Procedures”), *“when the Nomination Period has closed, if the number of candidates nominated is equal or less than the Board positions available in a particular constituency, the candidates shall be acclaimed.”*

COMPLIANCE WITH POLICY/LEGISLATION:

- The election process complied with the Election Procedures.

NEXT STEPS:

1. We will notify the candidate of the outcome of the committee's decision.
2. The nomination will be presented to the Board for approval at the meeting on April 24.

MOTION FOR CONSIDERATION:

Pursuant to the recommendation of the Chief Electoral Officer, the Governance, Nominations and Human Resources Committee hereby recommends the appointment of Owen Davis to the Board of Governors as the elected Student Governor for the term of September 1, 2019 until August 31, 2020.

SUPPORTING REFERENCE MATERIALS:

- Certificate of Chief Electoral Officer dated March 20, 2019

March 20, 2019

Certificate of the Chief Electoral Officer – Board of Governors Election 2019-2020

As the Chief Electoral Officer for the Board of Governors elections for the University of Ontario Institute of Technology, it is my responsibility to oversee the conduct of elections within the established policies and procedures, in order to ensure the integrity and fairness of the election process.

My review of the election for the Board of Governors Student Governor takes into account the conduct of the election process, as well as any complaints received regarding conduct of candidates during the elections.

During this election, there were no complaints received regarding the conduct of candidates.

It is my opinion that the elections were contested fairly and in accordance with the *Board of Governors Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives*.

Based on the election result, I hereby certify to the Board of Governors that:

- Student member **Owen Davis** was eligible to run as a candidate and was properly acclaimed as the Student Governor on the Board of Governors for the term of September 1, 2019 to August 31, 2020.

Becky Dinwoodie
Chief Electoral Officer
Assistant University Secretary



COMMITTEE REPORT

SESSION:

Public
 Non-Public

ACTION REQUESTED:

Decision
 Discussion/Direction
 Information

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

DATE: March 28, 2019

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, 2018, 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 April 24, 2019 for information.

SUPPORTING REFERENCE MATERIALS:

- 2018 Annual Pension Plan Report



**THE UOIT DEFINED CONTRIBUTION PENSION PLAN (UOIT DCP)
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 Feb 12, 2019), 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.

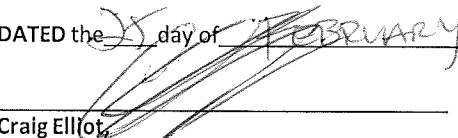
The SASC (or member thereof) is responsible for reporting to the Governance, Nominations & Human Resources Committee of the UOIT Board of Governors and for certifying that all aspects of the UOIT Pension Plan Governance Structure and the UOIT Plan Governance Processes have been met.

With respect to the Year January 1, 2018 to December 31, 2018 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.



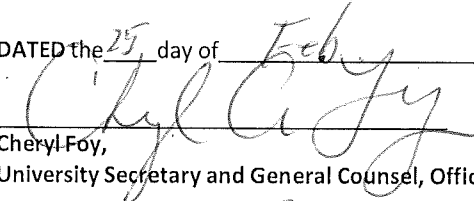
Jamie Bruno,
Assistant Vice-President, Human Resources

DATED the 25 day of FEBRUARY, 2019.



Craig Elliot,
Chief Financial Officer

DATED the 25 day of Feb, 2019.



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

DATED the 25 day of February, 2019.

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, 2018 to December 31, 2018

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	2018 N/A	
3.	Appoints the Plan auditor	2018 N/A	None
4.	Receives annual report from the Governance, Nominations & Human Resources Committee	March	At least annually
5.	Receives and considers reports from the Audit Committee	November	
6.	May receive submissions directly from the Pension & Benefits Committee	2018 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, 2018 to December 31, 2018

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	November March 2019	At least annually -Pension Audit results -Statement of Investments Policies and Procedures 2018 Annual Governance Checklists
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	2018 None	
5.	Considers Plan design changes and makes recommendations to the Board.	2018 N/A	None
6.	Ensures that the appropriate reporting on pension-related matters is made to the Board.	February, November	At least annually -as listed in #1 above
7.	Make changes to the Accountability Tool	2018 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, 2018 to December 31, 2018

& 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 Pension Audit

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, 2018 to December 31, 2018

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives reports from SASC	Ongoing	SLT meetings held weekly updates provided as required
2.	Considers Plan design changes and makes recommendations to the Governance, Nominations & Human Resources Committee	2018 N/A	None
3.	Ensures that appropriate reporting is made to the Governance, Nominations & Human Resources Committee	Ongoing	SLT meetings held weekly updates provided as required
4.	May receive submissions directly from the Pension & Benefits Committee	2018 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 & 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, 2018 to December 31, 2018

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Reviewing and approving the completed checklists/reports of P&B Staff	AVP, HR ¹ & Services	December	
2.	Approving and executing Plan amendments and signing any related regulatory filings.	AVP, HR ¹ & Services/GC ² or delegate	November	Amendment –to Statement of Investments Polices and Procedures (SIPP) for removal of Black Rock Universe Bond fund and addition of PH & N Core Plus Bond Fund
3.	Approving and signing all annual regulatory filings	VP, HR& Services/GC ² or delegate	September 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*

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
4.	Approves, reviews and amends SIPP	VP, HR & Services/ GC, CFO ³	September	Amendment –to Statement of Investments Policies and Procedures (SIPP) for removal of Black Rock Universe Bond fund and addition of PH & N Core Plus Bond Fund
5.	Selecting third party service providers and negotiating and executing contracts.	VP, HR& Services/CFO	2018 N/A	None Required
6.	Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements.	CFO/VP,HR& Services ¹	November	
7.	(a) Chairing the Pension & Benefits Committee and preparing the agenda	VP, HR& Services (or delegate)	January, March & September	Preparation of Agenda Approval of Minutes
	(b) Attending the Pension & Benefits Committee	CFO (or delegate)	January, March	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, March & September	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 and semi-annual investment performance analysis.

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

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 2019	Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks. Investment performance posted to UOIT HR Pension website and available on Plan member website at SLF. Meetings with Mercer & SLF at least annually.
11.	Receiving and reviewing member communication and education initiatives <i>(continued on next page)</i>	VP, HR & Services or delegate	<p>March</p> <p>April</p> <p>Q1- April Q2- July Q3 – October Q4-January 2019</p> <p>March, August, November</p>	<p>Outbound calls to former members to discuss termination options SLF script reviewed & approved.</p> <p>Fact Sheet- “Understanding Your Fund Management Fees” -to all pension plan members and posted to UOIT Pension website.</p> <p>Workshop & Webinar “Understanding Your UOIT defined contribution pension plan”</p> <p>Post workshop/webinar recording of webinar to all eligible employees and posted to website.</p> <p>One on one sessions with Sun Life Representative</p> <p>Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks. Quarterly data posted to UOIT HR Pension website.</p> <p>Pension, Benefits & Wellness Newsletters</p>

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
			July	New termination option statement and letter revised for clarity
			July	Mailings to GIC members with assets >\$100K –secured by SLF GIC trust product.
			September	New “Retirement Income Options Booklet” sent to all eligible employees and posted to the UOIT DCPD library website in line with CAPSA best practice.
			October	Targeted Communication- “Understanding diversification of the UOIT DCPD” to passive members who have not made an active investment election since enrolling in the plan
				Communication campaign for introduction of PH & N Core Plus Bond Fund replacing BlackRock Universe Bond Fund
			November	Workshop & Webinar - “Understanding Your UOIT DCPD investment options”
				One on one sessions with Sun Life representative
				Post workshop/webinar recording of webinar to all eligible employees and posted to website <i>(continued on next page)</i>

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
				<p>Targeted communication to members who may be overdiversified with portfolios invested in more than one Black Rock Target Date fund.</p> <p>Sun Life Max online/email Financial Wellness campaign to all members to review pension portfolios (Financial Literacy Month)</p>
12.	Reviewing and approving the annual expense budget	VP, HR& Services/GC ²	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	2018 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 ³	April	Approval of recommendation from P & B Committee (in consultation with investment consultant) to add PH & N Core Plus Bond Fund and remove BlackRock Universe Bond Index Fund
15.	Dealing with material regulatory issues.	VP, HR& Services/GC	2018 N/A	None
16.	Working with the Audit Committee to address risk management issues	VP, HR & Services/GC ⁴	2018 N/A	None

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

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

⁴ GC plays an advisory role on an as needs basis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
17.	Overseeing governance review using Canadian Association of Pension Supervisor Authorities (CAPSA) governance tool	CFO/ VP, HR & Services ⁵	Ongoing and annual review Certification by SASC February 2019	SASC meetings
18.	<p>Preparing and delivering report(s) to the</p> <p>a) SLT</p> <p>b) Governance, Nominations & Human Resources Committee</p> <p>c) Audit Committee</p> <p>d) Board</p>	GC/ VP, HR & Services ⁶	<p>Ongoing Meetings with P & B Staff</p> <p>January, April, September</p> <p>a) Weekly</p> <p>b) October & November</p> <p>c) November</p> <p>d) November</p>	<p>Updates provided by P & B Staff to AVP HR and SASC</p> <p>SASC Committee Meeting</p> <p>Reporting as required</p> <p>Approval of Statement of Investment Policies (SIPP) and Procedures (removing Black Rock Universe Bond fund and adding PH & N Core Plus Bond Fund</p> <p>Approval of Pension Financial Statements & Pension Audit Report</p> <p>Approval of amendment to SIPP as per b) above, Pension Financial Statements & Pension Audit Report</p>

⁵ VP, HR & Services plays an advisory role on an as needs basis

⁶ 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	February 2019	SASC annual review and compliance certification to the Board

Green-completed , Yellow-in progress, Red-outstanding

DRAFT

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, 2018 to December 31, 2018

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	November	Statement of Investment Policies & Procedures (SIPP)– amendment removing BlackRock Universe Bond Index Fund and add PH & N Core Plus Bond Fund

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 -2018 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 2018 maximum \$26,500</p>
3.	Reports and returns filed with the Financial Services Commission of Ontario ("FSCO") and Canada Revenue Agency ("CRA").		<p>September</p> <p>August</p> <p>December</p>	<p>Annual Information Return – filed with FSCO*</p> <p>Form 7- Contribution Summary Form reported & filed to Sun Life</p> <p>Audited Financial Statements filed with FSCO</p>
4.	Summaries of Pension Adjustments ("PAs").	Payroll	December	2018 Pension Adjustments year-end checked no issues as confirmed by payroll & SLF
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	September	Done
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

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 meeting eligibility criteria.</p>
14.	Information with respect to the termination and death benefit payments made from the Fund.	UOIT and Sun Life	Ongoing	Termination reports received monthly
15.	Information with respect to marriage breakdowns	Sun Life	Ongoing	2 inquiries
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 & Sun Life	Ongoing	UOIT DCPD Library UOIT Pension Website

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>September</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>Retirement Income Options 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	<p>September</p> <p>October</p> <p>November</p>	<p>Targeted Communication- "Understanding diversification of the UOIT DCPD" to passive members who have not made an active investment election since enrolling in the plan</p> <p>Communication campaign for introduction of PH & N Core Plus Bond Fund replacing BlackRock Universe Bond Fund</p> <p>Workshop & Webinar - "Understanding Your UOIT DCPD investment options"</p> <p>One on one sessions with Sun Life representative</p> <p>Post workshop/webinar recording of webinar to all eligible employees and posted to website</p>

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
			<p>November</p> <p>Ongoing</p>	<p>Targeted communication to members who may be over diversified with portfolios invested in more than one Black Rock Target Date fund.</p> <p>Sun Life Max online /email Financial Wellness campaign to all members to review pension portfolios (Financial Literacy Month)</p> <p>Financial resources & Quarterly investment performance reports & economic outlooks. UOIT Pension Retirement & Financial Resources we</p>
20.	Information with respect to any regulatory or other administrative issues that arose during the year.	UOIT	None	
21.	Information with respect to member complaints	Sun Life	2018 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	
25.	Report on the results of the reviews of and/or amendments to any Key Plan Documents	UOIT	September	Review of Statement of Investments Policies & Procedures

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

- 2016 YMPE \$54,900/\$19,215
- 2017 YMPE \$55,300/\$19,355

Green-completed
Yellow-in progress
Red-outstanding

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

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, 2018 to December 31, 2018

	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.	P & B Staff	2018 None
<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.)	2018 /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)		2018 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.	2018 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.	P & B Staff	None

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

	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 September	Finance and P & B Staff	Financial Statements filed with FSCO
<input type="checkbox"/> Review SIP&P and amend/confirm annually.	Reg. 79 FIR, s.7.2(1)		SASC & P & B Staff	

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

	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.	2018 N/A	None

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

	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.	2018 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 annually to home address 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 made within 30 days upon receipt of member's election to transfer assets out of the UOIT DCPD.

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

	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 not directly paid from UOIT DCPN N/A</p> <p>Member direction required to SLF to transfer assets out of the Plan</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	Two inquiries forms and process provided to plan member.

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2018 to December 31, 2018

	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, 2018 to December 31, 2018

	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, 2018 to December 31, 2018

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
1.	Plan text	November 2017	None	SASC & P & B Staff	No changes
2.	Custodial Agreement (under Group Annuity Contract)	November 2017	2022	N/A	RFP conducted Sun Life awarded business
3.	Record-keeping Agreement (Sun Life Service Fee Agreement)	November 2017	2022	VP HR & Services	RFP conducted Sun Life awarded business
4.	Insurance Policy Sun Life Group Annuity Contract	November 2017	2022	VP HR & Services	RFP conducted Sun Life awarded business
5.	Statement of Investment Policies and Procedures	September	As required	VP HR & Services	Revised to remove BlackRock Universe Bond Index Fund and add PH & N Core Plus Bond Fund
6.	Investment Consulting Agreement	January 2015	2020	VP HR & Services	Mercer Canada appointed
7.	Governance Documentation (including Board resolution approving UOIT Pension Plan Governance Structure and Functions Chart and Accountability Tool)	January 2017	TBD	SASC	SASC annual certification, review and approval of Governance Documentation

*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
8.	Employee Booklet	August 2017	N/A	VP HR & Services and P & B Staff	No changes in 2018
9.	Service Provider Benchmarks	November 2017	Pension & Benefits Provider 2022 Pension Investment Consultant 2020	SASC	

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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, 2018 to December 31, 2018

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