

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

Thursday, May 26, 2022
2:00 p.m. – 3:30 p.m.

[Videoconference](#)

+1 289-323-7530 PIN: 401 882 517#

Members: Maria Saros (Chair), Laura Elliott, Mitch Frazer, Francis Garwe, Kathy Hao, Kori Kingsbury, Steven Murphy, Dietmar Reiner, Trevin Stratton

Staff: Jamie Bruno, Krista Hester, Lori Livingston

AGENDA

| No. | Topic | Lead | Allocated Time | Suggested Start Time |
|-----|--|---------------|----------------|----------------------|
| | PUBLIC SESSION – 2:00 p.m. | | | |
| 1 | Call to Order | Chair | | |
| 2 | Agenda (M) | Chair | | |
| 3 | Conflict of Interest Declaration | Chair | | |
| 4 | Chair's Remarks | Chair | 5 | 2:00 p.m. |
| 5 | President's Remarks | Steven Murphy | 10 | 2:05 p.m. |
| 6 | Governance: | | | |
| 6.1 | Board Schedule 2022-2023* | Chair | 5 | 2:15 p.m. |
| 7 | Nominations: | | | |
| 7.1 | Election Results* | Krista Hester | 5 | 2:20 p.m. |
| 8 | Consent Agenda (M): | Chair | 5 | 2:25 p.m. |
| 8.1 | Minutes of the Meeting of March 31, 2022* | | | |
| 9 | For Information: | | | |
| 9.1 | Annual Pension Plan Report* | | | |
| 9.2 | Respectful Campus Policy and Procedures for employees* | | | |
| 9.3 | GNHR Annual Board Report* | | | |
| 10 | Other Business | Chair | | |
| 11 | Adjournment (M) | Chair | | 2:30 p.m. |
| | BREAK | | 5 | |

| No | Topic | Lead | Allocated Time | Suggested Start Time |
|-----------|--|---------------|----------------|----------------------|
| | NON PUBLIC SESSION – 2:35 p.m. | | | |
| 12 | Call to Order | Chair | | 2:35 p.m. |
| 13 | Conflict of Interest Declaration | Chair | | |
| 14 | Chair’s Remarks | Chair | 5 | 2:35 p.m. |
| 15 | President’s Remarks | Steven Murphy | 5 | 2:40 p.m. |
| 16 | Human Resources | | | |
| 16.1 | Labour Relations & Human Resources Update* (M) | Jamie Bruno | 5 | 2:45 p.m. |
| 16.2 | Terms of Reference* (M) | Jamie Bruno | 5 | 2:50 p.m. |
| 17 | Nominations | Chair | 15 | 2:55 p.m. |
| 17.1 | Board Leadership* (M) | | | |
| 17.2 | Board Composition* (M) | | | |
| 18 | Consent Agenda (M): | Chair | | 3:10 p.m. |
| 18.1 | Minutes of the Meeting of March 31, 2022* | | | |
| 19 | Other Business | Chair | | |
| 20 | <i>In Camera</i> Session (M) | Chair | 10 | 3:15 p.m. |
| 21 | Termination (M) | Chair | | 3:25 p.m. |

Krista Hester, Interim Secretary

DRAFT BOARD SCHEDULE 2022-2023

| COMMITTEE | DATE | TIME | 2022-2023 | TIME |
|---|-------------------|-----------------------|-------------------|-----------------------|
| | | | | |
| Audit & Finance Committee | November 24, 2021 | 2:00 - 5:00 p.m. | November 23, 2022 | 2:00 - 5:00 p.m. |
| Audit & Finance Committee | February 23, 2022 | 2:00 - 5:00 p.m. | February 22, 2023 | 2:00 - 5:00 p.m. |
| Audit & Finance Committee | April 13, 2022 | 2:00 - 5:00 p.m. | April 12, 2023 | 2:00 - 5:00 p.m. |
| Audit & Finance Committee | June 15, 2022 | 1:00 - 5:00 p.m. | June 14, 2023 | 1:00 - 5:00 p.m. |
| | | | | |
| Board of Governors Retreat | tbd | | | |
| | | | | |
| Board of Governors | December 9, 2021 | 12:00 - 5:00 p.m. | December 1, 2022 | 12:00 - 5:00 p.m. |
| Board of Governors | March 10, 2022 | 12:00 - 5:00 p.m. | March 9, 2023 | 12:00 - 5:00 p.m. |
| Board of Governors | April 28, 2022 | 12:00 - 5:00 p.m. | April 27, 2023 | 12:00 - 5:00 p.m. |
| Board of Governors - AGM | June 29, 2022 | 9:00 a.m. - 3:00 p.m. | June 28, 2023 | 9:00 a.m. - 3:00 p.m. |
| | | | | |
| Governance, Nominations & Human Resources Committee | October 21, 2021 | 2:00 - 5:00 p.m. | October 20, 2022 | 2:00 - 5:00 p.m. |
| Governance, Nominations & Human Resources Committee | January 27, 2022 | 2:00 - 5:00 p.m. | January 26, 2023 | 2:00 - 5:00 p.m. |
| Governance, Nominations & Human Resources Committee | March 31, 2022 | 2:00 - 5:00 p.m. | March 30, 2023 | 2:00 - 5:00 p.m. |
| Governance, Nominations & Human Resources Committee | May 26, 2022 | 2:00 - 5:00 p.m. | May 25, 2023 | 2:00 - 5:00 p.m. |
| | | | | |
| | | | | |
| Strategy & Planning Committee | October 7, 2021 | 2:00 - 5:00 p.m. | October 27, 2022 | 2:00 - 5:00 p.m. |
| Strategy & Planning Committee | January 13, 2022 | 2:00 - 5:00 p.m. | January 12, 2023 | 2:00 - 5:00 p.m. |
| Strategy & Planning Committee | March 17, 2022 | 2:00 - 5:00 p.m. | March 16, 2023 | 2:00 - 5:00 p.m. |
| Strategy & Planning Committee | May 12, 2022 | 2:00 - 5:00 p.m. | May 11, 2023 | 2:00 - 5:00 p.m. |
| | | | | |
| OTHER DATES | | | | |
| CCOU Conference | Spring 2021 | tbd | | tbd |
| Convocation | | | | |

COMMITTEE REPORT

SESSION:

Public
Non-Public

ACTION REQUESTED:

Decision
Discussion/Direction
Information

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

DATE: May 26, 2022

FROM: Krista Hester, Interim Board Secretary

SUBJECT: Board of Governors 2022 Student Governor representative

COMMITTEE MANDATE:

- In accordance with the Governance, Nominations & Human Resources Committee's (GNHR) Terms of Reference, the committee's responsibilities include overseeing the process of electing new governors and recommending their appointment to the Board.
- We are seeking the committee's recommendation of the appointment of the successful candidate in the 2022 Board of Governors Student Election ("Election").

BACKGROUND

Initial Election Voting Period:

- The initial Election voting period took place from April 11-18, 2022.
- In accordance with Article 3.3 of By-law No. 1, four of the Governors shall be elected as follows:
 - two shall be elected by and from the full-time Teaching Staff of the University;
 - one shall be elected by and from the Administrative Staff of the University; and
 - one shall be elected by and from the Students.
- There were no vacancies this year for Teaching Staff Representatives or Administrative Staff Representatives.
- There was one student nominee come forward and was acclaimed and therefore no election was required.

Student Governor Candidate:

- We received only one nomination for the student governor position.
- The student candidate has also been re-elected as President of the Student Union (SU).
- In verifying the candidate's eligibility, we noted that he has graduated.
- We confirm that there is a past practice of permitting the sitting SU President to participate as the student governor while not being a registered student.
- This exception has been granted on the basis that the rationale for the requirement of a student to be registered to be eligible to serve as the student governor is to ensure the individual has an active and ongoing connection to the student body. The role of SU President fulfills this requirement.

COMPLIANCE WITH POLICY/LEGISLATION:

- Board of Governors Procedures for the Election of Administrative Staff, Student and Teaching Staff Governors.

MOTION:

Pursuant to the recommendation of the Chief Electoral Officer, the Governance, Nominations and Human Resources Committee hereby recommends the appointment of the following successful candidates in the 2022 Board Election for the specified terms:

- *Joshua Sankarlal to the Board of Governors as the elected Student Governor for the term of September 1, 2022 until August 31, 2023.*

NEXT STEPS:

1. Following GNHR's recommendation, the Office of the University Secretary & General Counsel (USGC) will update the candidates regarding the outcome of the Election.
2. The recommended appointment will be presented to the Board for approval at the meeting on June 29, 2022.

SUPPORTING REFERENCE MATERIALS:

- Certificate of Chief Electoral Officer

May 26, 2022

Certificate of the Chief Electoral Officer – Board of Governors Election 2022

As the Chief Electoral Officer for the Board of Governors elections for Ontario Tech University, 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.

There was one student representative position available for 2022/23 for the Board of Governors and one student nominee came forward. Therefore, no election was required.

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

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

- Student member Joshua Sankarlal 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, 2022 to August 31, 2023.

Krista Hester
Chief Electoral Officer
Interim Board Secretary



BOARD OF GOVERNORS

Governance, Nominations & Human Resources Committee (GNHR)

Minutes of the Public Session of the Meeting of March 31, 2022

2:00 p.m. – 2:30 p.m., Videoconference

Members: Maria Saros (Chair), Laura Elliott, Mitch Frazer, Frances Garwe, Kathy Hao, Kori Kingsbury, Steven Murphy, Dietmar Reiner,

Regrets: Trevin Stratton

Staff: Jamie Bruno, Sarah Cantrell, Barb Hamilton, Krista Hester, Lori Livingston, Brad Maclsaac, Andrew Sunstrum

Guests: Mike Eklund, Dwight Thompson

1. Call to Order

The Chair called the meeting to order at 2:01 p.m.

2. Agenda

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

3. Conflict of Interest Declaration

None.

4. Approval of the Minutes of the Public Session January 27, 2022

Upon a motion duly made by L. Elliott and seconded by S. Murphy, the minutes were approved as presented.

5. Chair's Remarks

The Chair welcomed everyone to the meeting. She acknowledged that we are all grieving the loss of our dear colleague and friend, Becky Dinwoodie. She noted that she was pleased to see the Becky Dinwoodie memorial fund that has been set up in her honour.

6. President's Remarks

The President confirmed that he has been in close contact with Becky's family and that we are paying tribute to her but not conflicting with family plans. We are hoping to hear about arrangements shortly.

He was pleased to update on many events happening on campus, both virtually and in person. Firstly, the Three Minute Thesis event (3MT) takes place at the end of March and was virtual this year. The students did incredibly well and one of our varsity rowers won the competition and will go on to represent Ontario Tech at the provincial level. Further, the Student Union put on Pangaea, an annual cultural celebration. The event was held in person (with masks) and was a night filled with cultural entertainment and dance. He encouraged governors to join in future years, noting the talent amongst our students is very high. Also, the Celebrate Teaching awards were held yesterday. This is an incredibly important event, especially in a time when instructors are continually pivoting depending on how COVID plays out. He thanked everyone for the education they provide to our students and noted that we have faculty who are very deserving but that on a whole, all faculty have done a great job through pandemic and continue to do so. Finally, varsity athletics held an in person event to recognize academic varsity athletes. The number of athletes has doubled from 40 to 80 with GPA xx and above. Mentoring in athletics dept. shout out to womens' hockey. Made all canadian list. All are stellar academically.

7. Governance

7.1 Update of Board of Governors Election Process

K. Hester provided a brief update of the election process noting that due to the labour disruption earlier this year, the election dates have been delayed. She explained that both the Academic Council and Board of Governors elections are done at the same time. The new dates were circulated with the material and the information has been posted in the Weekly Report. For the Board, there is one available student position for an undergraduate or graduate student. The nomination period for the positions is open from Monday, April 11 at 9 a.m. through to Monday, April 18 at 4 p.m. All related information can be found on the Board of Governors website.

8. Policy

8.1 Procedures to Prevent and Address Discrimination and Harassment by Or Against Students

A. Sunstrum noted that the procedures have been brought to the committee in January for consultation and have also been to Academic Council and out for online consultation. There have only been minor revisions as a result of some of the comments received. He concluded by stating that this will align the student procedures with the employee procedures.

Upon a motion duly made by K. Kingsbury and seconded by D. Reiner that the Governance, Nominations and Human Resources Committee hereby approves the Procedures to Prevent and Address Discrimination and Harassment by Or Against Students, as presented.

9. Other Business:

10. Adjournment

Upon a motion duly made by K. Kingsbury, the public session adjourned at 2:15 p.m.

COMMITTEE REPORT

SESSION:

Public
Non-Public

ACTION REQUESTED:

Decision
Discussion/Direction
Information

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

DATE: May 26, 2022

PRESENTED BY: Jamie Bruno, Chief Transformation and Organization Culture Officer

SUBJECT: 2021 DCP Pension Governance Compliance Report

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 respect to the University of Ontario Institute of Technology Pension Plan Governance Structure and Pension Plan Processes.

The SASC is seeking GNHR's recommendation to the Board for approval of the 2021 Pension Governance Compliance Report.

BACKGROUND/CONTEXT & RATIONALE:

Ontario Tech University is the sole sponsor of the university's pension plan. The pension plan is a member-investment directed defined contribution pension plan (DCPP) registered with the Financial Services Regulatory Services and the Canada Revenue Agency, and governed by the *Pension Benefits Act (Ontario)* and the *Income Tax Act, Canada*, respectively.

The SASC exercises overall responsibility for the proper administration of the DCP, and administration and investment of the fund. SASC's responsibilities are carried out by three members of senior management:

- Chief Transformation and Organization Culture Officer
- Vice-President, Administration
- General Counsel

The SASC is also responsible for reporting to GNHR and certifying that all aspects of the *University of Ontario Institute of Technology Pension Plan Governance Structure and Pension Plan Processes* have been met.

With respect to the year January 1 – December 31, 2021, 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. The attached report will be distributed to the Board of Governors at the meeting on June 29, 2022 for information.

SUPPORTING REFERENCE MATERIALS:

- 2021 Annual Pension Plan Governance Report

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**THE UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY DEFINED CONTRIBUTION
PENSION PLAN
GOVERNANCE COMPLIANCE CERTIFICATE**

The University of Ontario Institute of Technology (operating as Ontario Tech University) 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 Service Regulatory Authority 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 Chief Transformation and Organization Culture Officer, the VP, Administration and the General Counsel. The main responsibility for the Plan and Fund lies with the President 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 Ontario Tech University Board of Governors and for certifying that all aspects of the Plan Governance Structure and the Plan Governance Processes have been met.

With respect to the Year January 1, 2021 to December 31, 2021 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,
Chief Transformation and Organization Culture Officer

DATED the 12 day of May, 2022.

Brad MacIssac, VP Administration

DATED the 2 day of May, 2022.

Sara Gottlieb,
General Counsel

DATED the 2 day of May, 2022

BOARD OF GOVERNORS

As the guiding mind of the University of Ontario Institute of Technology (Ontario Tech University), 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 Senior Leadership Team (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 & Finance 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 & Finance 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, 2021 to December 31, 2021

| 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 ¹ on the recommendation of the Governance, Nominations & Human Resources | 2022/23 TBDA | Fall 2022 |
| 3. | Appoints the Plan auditor | 2021 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 | 2021 N/A | None |

Green-completed
Yellow-in progress
Red-outstanding

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, 2021 to December 31, 2021

| 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 | January 2022 | At least annually Pension Financial Statements; Pension Audit results & #2 below SIPP |
| 2. | Receives and considers reports from SLT*/SASC on investment options offered under the Plan | 2021 - N/A | None |
| 3. | Receives and considers reports from the SLT/SASC on employer-related matters, including the operational budget for the Plan | May 2022 | Terms of Reference (pending HR approval at GNHR meeting) |
| 4. | May receive submissions directly from the Pension & Benefits Committee | None | |
| 5. | Considers Plan design changes and makes recommendations to the Board. | 2022 Fall | Pension Plan Text will be updated to include previous amendments |
| 6. | Ensures that the appropriate reporting on pension-related matters is made to the Board. | January 2022 | Review Pension Findings Report |
| 7. | Make changes to the Accountability Tool | 2021 N/A | |

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 VP, Administration.

Audit Board of Governors Checklist

January 1, 2021 to December 31, 2021

| & 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 University of Ontario Institute of Technology (Ontario Tech University) pension plan | September | Done |
| 3. | Receives reports from SLT/SASC/VP, Administration on audit and risk management matters | November | Done |
| 4. | Reports to the Board on risk management and audit issues | November | None reported in 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, 2021 to December 31, 2021

| 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 | No plan design changes | Amendments to the Plan Text –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 | 2021 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 Chief Transformation Officer (CTO) the VP, Administration and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the CTO 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, 2021 to December 31, 2021

| No. | Item | Party Responsible | Completion Date | Action Required/ Taken/Comments |
|-----|---|----------------------------------|--|---|
| 1. | Reviewing and approving the completed checklists/reports of P&B Staff | CTO | May 2022 | SASC approved and forwarded to GNHR. |
| 2. | Approving and executing Plan amendments and signing any related regulatory filings. | CTO/GC ¹ or delegate | May 2021 | Amended Annuity Policy for Sun Life Guaranteed Daily Interest fund that was added June 1, 2020 |
| 3. | Approving and signing all annual regulatory filings | CTO /GC ¹ or delegate | December August December | Annual Information Return (AIR) – reviewed & filed with FSRA Form 7- Contribution Summary-reviewed and filed with Sun Life (custodian) Financial Statements filed with FSRA |

| No. | Item | Party Responsible | Completion Date | Action Required/ Taken/Comments |
|-----|--|---|--|--|
| 4. | Approves, reviews and amends SIPP | CTO/ GC, CFO ² | 2021-N/A | No amendments required |
| 5. | Selecting third party service providers and negotiating and executing contracts. | CTO /VP, Administration | 2021-N/A | None |
| 6. | Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements. | VP, Administration/CTO | December | Approved & signed |
| 7. | (a) Chairing the Pension & Benefits Committee and preparing the agenda (b) Attending the Pension & Benefits Committee | CTO (or delegate) VP, Administration (or delegate) | March & September March & September | Preparation of Agenda Approval of Minutes Year End & Semi-Annual Pension Investment Performance meeting and discussions. |
| 8. | Receiving and reviewing reports from P&B Staff regarding the performance of third party service providers | CTO or delegate | March, September March 2022 | Mercer Canada Investment Reports Sun Life |
| 9. | Establishing service standards/benchmarks based on recommendations from P & B Staff | CTO or delegate | April & October | Meetings with SASC as required. Mercer provides investment benchmarks and conducts annual and semi-annual investment performance analysis. |

| 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) | CTO or delegate | <p>Q1- April Q2- July Q3- October Q4- January</p> <p>March & September</p> <p>March 2022</p> | <p>Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks in written & video format. Investment performance posted to HR Pension website and available on Plan member website at SLF. Bi-annual meetings with Mercer (Pension Investment consultant) and subsequent attendance at P & B Committee</p> <p>Mercer Canada</p> <p>Annual Pension Report with Sun Life</p> |
| 11. | Receiving and reviewing member communication and education initiatives <i>(continued on next page)</i> | CTO or delegate | <p>January to December</p> <p>Ongoing</p> <p>April</p> <p>May</p> | <p>My Money at Work 2021 Financial Wellness Webinars series (Sun Life)</p> <p>HR Pension Website Resources</p> <p>Communication to all Plan Members with resources in response to volatile markets - COVID-19</p> <p>Presentation deck for 2021 Spring webinar and ancillary materials re: Assessing your retirement readiness.</p> |

| No. | Item | Party Responsible | Completion Date | Action Required/ Taken/Comments |
|-----|--|-----------------------------|--|---|
| | | | <p>October</p> <p>Q1- April Q2- July Q3 – October Q4-January</p> <p>November</p> | <p>Presentation deck for 2021 Fall Webinar Investing – A closer look</p> <p>Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks. Quarterly data posted to Ontario Tech University Pension website.</p> <p>Sun Life Max Review- Financial Literacy e-mail campaign to all members to review pension portfolios (Financial Literacy Month)</p> |
| 12. | Reviewing and approving the annual expense budget | CTO/GC | 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. | CTO/VP, Administration | 2021 N/A | |
| 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. | CTO, GC, VP, Administration | N/A-2021 | |
| 15. | Dealing with material regulatory issues. | CTO/GC | 2021 N/A | None |
| 16. | Working with the Audit Committee to address risk management issues | CTO/GC ¹ | 2021 N/A | None |

| No. | Item | Party Responsible | Completion Date | Action Required/ Taken/Comments |
|-----|---|---|--|---|
| 17. | Overseeing governance review using Canadian Association of Pension Supervisor Authorities (CAPSA) governance tool | VP, Administration/ CTO ⁴ | Ongoing and annual review April | SASC meetings SASC Compliance Certification |
| 18. | Preparing and delivering report(s) to the a) SLT b) Governance, Nominations & Human Resources Committee c) Audit Committee d) Board | GC/ CTO ⁴ | Ongoing Meetings with P & B Staff February & October a) Weekly c) December d) December | Updates provided by P & B Staff to CTO and SASC SASC Committee Meeting Reporting as required Pension Financial Statements & Pension Audit Report Pension Financial Statements & Pension Audit Report Pension Financial Statements & Pension Audit Report |
| 19. | Ensuring that the Accountability Tool is completed on an annual basis and maintaining a record of the completed Checklists | CTO/GC/VP, Administration | May 2022 | SASC annual review and compliance certification to the Board |

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

1. GC plays an advisory role on an as needs basis.
2. GC and VP, Administration play an advisory role on an as needed basis.

3. CTO plays an advisory role on an as needs basis
4. CTO plays an advisory role on an as needs basis

Pension & Benefits (P & B) Committee

The Pension & Benefits Committee serves in an advisory capacity with respect to the Plan. The composition of the P&B Committee and other procedural matters are set out in the P&B Committee Terms of Reference, a copy of which is attached to this Accountability Tool.

The mandate of the P&B Committee includes oversight with respect to the administration, communication and investment management of the Plan. This includes the ability to make recommendations to SASC to amend and interpret the provisions of the Plan as well as to make recommendations to SASC with respect to the specific matters identified in the P&B Committee Terms of Reference.

P&B Committee Checklist

January 1, 2021 to December 31, 2021

| No. | Item | Party Responsible | Completion Date | Action Required/ Taken/Comments |
|-----|--|----------------------------|-----------------------|---|
| 1. | Developing Agenda | CTO /VP, Administration | March & September | Review of previous minutes and bringing forward any actions completed and provide updates |
| 2. | Transmitting Notice and Agenda | CTO /VP, Administration | March & September | Agenda and any accompanying materials reviewed prior to P & B committee meeting |
| 3. | P&B Committee Meeting | CTO /VP, Administration | March & September | Done |
| 4. | Distributing Minutes | Secretary | March & September | Done |
| 5. | Completing Action Items from P&B Committee Meeting | CTO (or delegate) | March February | Recommendation for due diligence (investment analysis by Mercer) re: Guaranteed Investment Deposit Account as a potential new investment option to SASC Recommendation to SASC to remove Money Market fund and replace with GDIA |
| 6. | Maintaining minutes of meetings | Secretary | March & September | Done-Distributed 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 Chief Transformation Officer (CTO) with respect to service providers, recommending service standards/benchmarks to the CTO, 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 CTO 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 CTO and VP, Administration, 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 CTO 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 CTO. 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, 2021 to December 31, 2021

| 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 | May | Amendment for annuity policy for Sun Life Guaranteed Daily Interest fund that was added June 1, 2020. Filing completed with FSRA and CRA |

| 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 -2021 January to December- Monthly</p> <p>Less than Full time or Limited Term-2021 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 2021 maximum \$29,210</p> |
| 3. | Reports and returns filed with the Financial Services Regulatory Authority of Ontario and Canada Revenue Agency (“CRA”). | | <p>December</p> <p>August</p> <p>December</p> | <p>Annual Information Return – filed with FSRA</p> <p>Form 7- Contribution Summary Form reported & filed to Sun Life (SLF)</p> <p>Audited Financial Statements filed with FSRA</p> |
| 4. | Summaries of Pension Adjustments (“PAs”). | Payroll | January 2021 | 2021 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 defined benefits plan only. N/A for the University’s defined contribution plan. |
| 6. | Annual Information Return | Pension & Benefits Staff | December | 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 Ontario Tech University | December | Done |

| No. | Item | Prepared By | Completion Date | Action Required/ Taken/Comments |
|-----|---|--|--|---|
| 9. | Copy of SIPP as either confirmed or amended by CTO | Mercer Investment Consulting Firm | 2021 N/A | No changes in 2021 that require SIPP amendment |
| 10. | Reports on monitoring of investment options | Mercer Sun Life | March Quarterly & Year End annual reporting | Q4-2021 DCPD Annual Investment Monitoring & Plan Governance Review @ December 31, 2020 Semi-annual Investment Monitoring Review @ June 30, 2021 Year End March 2022 |
| 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 quarterly | |

| No. | Item | Prepared By | Completion Date | Action Required/ Taken/Comments |
|-----|--|--------------------------------------|---|---|
| 13. | Information with respect to the enrolment of new members | Ontario Tech University & Sun Life | <p>1st day of hire for full time continuing employees (FTE) or;</p> <p>Less than full time or limited term employees (LTEs) 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 LTEs 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. | Ontario Tech University and Sun Life | <p>Terminations as occurring</p> <p>2021 deaths -none</p> | Termination reports received monthly & Plan member statement issued annually and targeted communications to reiterate termination options available. |
| 15. | Information with respect to marriage breakdowns | Sun Life | Ongoing | 1 case submitted to SLF |
| 16. | Information with respect to numbers of member and active members | Sun Life | Monthly & at Plan Year (June 30) | 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. |

| No. | Item | Prepared By | Completion Date | Action Required/ Taken/Comments |
|-----|--|--------------------------------------|---|---|
| 17. | Information with respect to the annual statements provided to members, including sample statements. | Ontario Tech University & Sun Life | Ongoing | SLF –quarterly pension statements online at SLF member website. Annual mailing to home address. DCPP Library-How to read my statement. |
| 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. | Ontario Tech University and Sun Life | <p>DCPP Member booklet updated April</p> <p>July</p> <p>Ongoing</p> <p>Ongoing -Less than full time or limited term employees’ pension personal sign up virtual meeting date of eligibility</p> | <p>DCPP Member Booklet & Retirement Income Options</p> <p>Pension & Benefits at a Glance ; Non-Union Faculty; Staff –Non-Union; FA; OPSEU & Executive</p> <p>My Money Investment Guide, Sun Life on line retirement and financial literacy tools (risk assessment) and University pension plan website</p> <p>Full time continuing Pension and Benefits Personal Sign Up virtual zoom meetings (prior to date of hire)</p> <p>Less than full time or limited term employees’ pension personal sign up virtual meeting date of eligibility</p> <p>Optional membership in the University’s pension plan as per Ontario pension legislation.</p> |

| No. | Item | Prepared By | Completion Date | Action Required/ Taken/Comments |
|-----|---|--------------------------------------|---|--|
| 19. | Information with respect to the educational or other information provided to Plan members about the Plan and financial planning for retirement. <i>(continued on next page)</i> | Ontario Tech University and Sun Life | <p>January</p> <p>April</p> <p>May</p> <p>Ongoing monthly</p> | <p>2021 Financial Wellness Webinars - monthly</p> <p>Communication to all Plan Members with resources in response to volatile markets - COVID-19</p> <p>2021 Spring Pension Assessing retirement readiness Webinar</p> <p>One on one sessions with Sun Life representative</p> <p>Post webinar recording of webinar available to all eligible employees and on Pension website</p> <p>Targeted communication to members with GIC & GDIA amounts nearing \$100k, for enrolment in SLF Trust to afford protection against unlikely event of SLF default.</p> <p>2021 Fall-Webinar – Virtual Presentations Investing: A closer look</p> <p>One on one sessions with Sun Life representative</p> |

| 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 | Ontario Tech University & Mercer | Ongoing | As required no pension plan text amendments |

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

- 2019 YMPE \$57,400/\$20,090
- 2020 YMPE \$58,700/\$20,545

Green-completed

Yellow-in progress

Red-outstanding

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

P & B STAFF: REGULATORY COMPLIANCE CHECKLIST

This checklist is intended as a guide to the regulatory responsibilities of Ontario Tech University 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 Regulatory Authority | FSRA |
| Canada Revenue Agency | CRA |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | 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 | May Amendment for annuity policy for Sun Life Guaranteed Daily Interest fund that was added June 1, 2020. Filing completed with FSRA and CRA |
| <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. | AON Hewitt July 24, 2003 September 13, 2004 | Done UOIT (Ontario Tech University) DCPP FSRA – 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.) | P & B Staff | 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) | | P & B Staff | None |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | | | | |
|--|---|--|--|--------------------------------------|
| <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. | P & B Staff | 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 |
| | 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. December | P & B Staff | Done -filed with FSRA |
| <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 | Financial Statements filed with FSRA |
| <input type="checkbox"/> Review SIP&P and amend/confirm annually. | Reg. 79 FIR, s.7.2(1) | April | SASC , P & B Staff in consultation with Mercer Investments | . |
| (c) Disclosure to Members | | | | |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | Legislation | Time Limit (if any) | Person Responsible | Comments |
|---|----------------------------|---|---------------------------|--|
| <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 if 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 –Optional membership 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. | 2021 N/A | None |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | 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. | 2021 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 | Quarterly Pension Statements on line at mysunlife.ca 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 Ontario Tech DCP. P. |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | 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 |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | Legislation | Time Limit (if any) | Person Responsible | Comments |
|--|---|---|---------------------------|---|
| <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 | None |
| (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 completed 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 |

P&B STAFF REGULATORY COMPLIANCE CHECKLIST
January 1, 2021 to December 31, 2021

| | Legislation | Time Limit (if any) | Person Responsible | Comments |
|--|--------------------|--|---------------------------|---|
| <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 | Reported by payroll on the T4 prior to Federal tax deadline of each year |
| <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 University's defined contribution pension plan. 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) | | September | Updated Plan Administrator name |

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, 2021 to December 31, 2021

| No. | Document | Last Review Date | Next Scheduled Review Date, if any | Review Completed By | Action Required/ Taken/Comments |
|-----|--|------------------|------------------------------------|---------------------|--|
| 1. | Plan text | | 2022 | SASC & P & B Staff | Updating Plan Text to include amendments |
| 2. | Custodial Agreement (under Group Annuity Contract) | November 2017 | 2022 | N/A | RFP conducted Sun Life appointed Effective April 1, 2018 |
| 3. | Record-keeping Agreement (Sun Life Service Fee Agreement) | November 2017 | 2022 | CTO | RFP conducted Sun Life appointed Effective April 1, 2018 |
| 4. | Insurance Policy Sun Life Group Annuity Contract | November 2017 | 2022 | VP HR & Services | RFP conducted Sun Life appointed Effective April 1, 2018 |
| 5. | Statement of Investment Policies and Procedures | September 2020 | As required | SASC P & B Staff | |
| 6. | Investment Consulting Agreement | December 2020 | 2025 | CTO | Mercer Canada appointed effective January 1, 2021 |
| 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 |

*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 | Completion date for revisions April 2021 | N/A | CTO and P & B Staff | Draft version revised for CRA limits and definitions & addition of definition of continuous service |
| 9. | Service Provider Benchmarks | November 2017 | Pension & Benefits Provider 2022 Pension Investment Consultant 2024 | SASC | |

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, 2021 to December 31, 2021

| No. | Item | Reviewed by | Completion Date | Action Required/ Taken/Comments |
|-----|--|---|---|--|
| 1. | Performance Review of Trustee/ Custodian | Mercer | November 2017 Effective April 1, 2018 | Market Review Sun Life Next review 2023 |
| 2. | Performance Review of Investment Manager, i.e., provider of investment platform for the Plan | P & B advisory committee CTO | September 2017 Effective April 1, 2018 | Market Review Sun Life Next review 2023 |
| 3. | Performance Review of Record-Keeper | P & B advisory committee CTO | September 2017 Effective April 1, 2018 | Market Review Sun Life Next review 2023 |
| 4. | Performance Review of Investment Consultant | VP, Administration, CTO, P & B Staff | December 2020 Effective January 1, 2021 | Effective January 2021 Contract awarded to Mercer –next review 2025 |
| 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

COMMITTEE REPORT

SESSION:

Public

ACTION REQUESTED:

Decision
Discussion/Direction
Information

Financial Impact Yes No

Included in Budget Yes No

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

DATE: May 26, 2022

SLT LEAD: Sara Gottlieb, General Counsel

SUBJECT: Respectful Campus Policy Instruments (2022 review)

COMMITTEE MANDATE:

- Under the University’s Act, section 9 (1), the Board of Governors has the power: “to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented”. The university’s Policy Framework is a key institutional policy that delegates the Board’s power, establishing categories of policy instruments with distinct approval pathways.
- In accordance with its Terms of Reference, one of GNHR’s mandate includes the establishment of human resources policy instruments.

BACKGROUND/CONTEXT & RATIONALE:

The Secretariat plays a significant role in advancing the strategic objective of creating a sticky campus. This work is done with a focus on initiatives to improve the culture within which students learn and employees work. Several years ago, the Secretariat began to focus on how the university improves its culture by increasing its capacity to manage conflict and promote respect. The purpose of the Respectful Campus Policy is to communicate the University’s Human Rights responsibilities and obligations in a central document that applies to all University Members. In addition, the policy places a greater emphasis on preventing harassment and discrimination by addressing disrespect and microaggressions and placing greater emphasis on informal dispute resolution processes such as mediation. While the principles and obligations described in the policy

apply to all University Members (with the exception of workplace harassment), the dispute resolution procedures for employees and students will remain separate.

The Policy and employee procedures were originally approved in 2021 and the student procedures were approved in March 2022.

Under the Occupational Health and Safety Act, the University is required to review its Respectful Campus Policy and Procedures on an annual basis. The Human Rights Office has conducted its annual review and is not recommending any amendments to the Policy instruments at this time.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- This policy instrument supports the university's values of integrity and respect by demonstrating the university's commitment to establishing a safe, inclusive, and equitable culture at the institution.
- By promoting a respectful, inclusive, and equitable culture at the university, this policy documents also support the strategic pillar of creating a "sticky campus". If we want the university community to want to spend time on campus, they must feel protected and be familiar with their various rights, roles, responsibilities and obligations as they relate to preventing and responding to all forms of harassment and discrimination. We must also move toward more constructive ways of resolving disputes earlier and in less adversarial ways.

NEXT STEPS:

- This report is for information purposes only.



| | |
|-----------------------|---|
| Classification Number | <i>To be completed by the Policy Office</i> |
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary and General Counsel |
| Approval Date | DRAFT FOR CONSULTATION |
| Review Date | |
| Supersedes | |

RESPECTFUL CAMPUS POLICY

PURPOSE

1. The Respectful Campus Policy (the “Policy”) outlines Ontario Tech University’s commitment to promote and sustain a respectful and inclusive campus in accordance with the Ontario Human Rights Code (the “Code”), the Accessibility for Ontarians with Disabilities Act, and the Occupational Health and Safety Act (OHSA). The purpose of the Policy is to ensure the campus community is familiar with their various rights, roles, responsibilities and obligations as they relate to preventing and responding to all forms of Harassment and Discrimination.

DEFINITIONS

2. For the purposes of this Policy and associated procedures, the following definitions apply:
 - “**Barriers**” include attitudes (stereotypes or prejudices), policies, practices, rules and designs that prevent full participation of individuals or groups on the basis of a Protected Ground.
 - “**Complainant**” refers to an individual who has filed a Report regarding an alleged breach of this policy.
 - “**Discrimination**” is a distinction, without lawful justification, whether intentional or not, which has the effect of denying benefits to, or otherwise disadvantaging, an individual on the basis of a Protected Ground (defined below). Discrimination may involve direct actions that are discriminatory on their face, or it may involve rules, practices or procedures that appear neutral, but have the effect of disadvantaging one or more groups of people.
 - “**Discriminatory Harassment**” means engaging in a course of vexatious comment or conduct based on any Protected Ground, that is known or ought reasonably to be known to be unwelcome. Discriminatory Harassment may include, for example, taunting or mocking someone’s race, ridiculing an individual’s disability or targeting others with sexual, gender-based or homophobic slurs.
 - “**Disrespect**” is behavior that falls short of Harassment, but nevertheless has harmful impacts on the campus environment, e.g. rude, inconsiderate and passive aggressive behavior. Disrespect, if left unaddressed, can escalate to Harassment or Discrimination.
 - “**Duty to Accommodate**” refers to the obligation to eliminate the disadvantage, to the point of undue hardship, caused by barriers that exclude individuals or groups protected under the Code from participating in all aspects of their employment, academic

endeavors, or use of facilities and housing on campus. Failure to meet the Duty to Accommodate is a form of discrimination. For more on the Duty to Accommodate see the University's Accommodation Policy.

"Employee" means job applicants and individuals performing services directly on the University's behalf, including administrative staff members, Faculty, volunteers and contract employees. Students who are employed during the course of their studies, are "Employees" for the purposes of this Policy when they are engaged in employment activities, but not otherwise.

"Faculty" includes a Faculty Member at Ontario Tech University, and includes those with both limited term and indefinite term appointments, as well as those with paid, unpaid and honorific appointments. For greater certainty, "Faculty" also includes visiting scholars and emeritus professors.

"Harassment" is the term used in this policy instrument to represent all forms of harassment: Discriminatory Harassment, Workplace Harassment and Sexual Harassment.

For greater certainty, Harassment is objectionable and unwanted behaviour that is verbally abusive, vexatious or hostile, that is without reasonable justification, and that creates a hostile or intimidating environment for working, learning or living. Harassment may be intentional or unintentional. While harassment usually consists of repeated acts, a single serious incident that has a lasting harmful effect may also constitute harassment.

Harassing behaviour includes, but is not limited to cumulative demeaning or intimidating comments, gestures or conduct; verbal aggression or yelling; bullying; threats to a person's employment or educational status, person or property; persistent comments or conduct, including ostracism or exclusion of a person, that undermines an individual's self-esteem so as to compromise their ability to achieve work or study goals; abuse of power, authority or position; sabotage of a person's work; humiliating initiation practices; hazing; calling someone derogatory names; spreading of malicious rumours or lies; or making malicious or vexatious complaints about a person.

Harassment does not include the exercise of appropriate managerial or supervisory direction, including performance management and the imposition of discipline; constructive criticism; respectful expression of differences of opinions; reasonable changes to assignments or duties; correction of inappropriate behaviour; interpersonal conflict; instructional techniques such as irony, conjecture, and refutation, or assigning readings or other instructional materials that advocate controversial positions; and single incidents of thoughtless, petty or foolish words or acts that cause fleeting harm.

"JHSC" means the Joint Health & Safety Committee(s) at Ontario Tech University.

"Mediation" is a structured process in which parties in dispute are assisted by a third-party to engage in dialogue and attempt to arrive at a mutually agreeable resolution. Mediation is a voluntary process and can only proceed if all parties involved agree to participate.

"Microaggression" means a comment or action that negatively targets a group based on a Protected Ground (e.g. a racist, sexist or homophobic comment). Microaggressions may be intentional or accidental, but are nonetheless harmful and stigmatizing to a certain group of people. If allowed to go unchallenged, Microaggressions may escalate to Harassment and/or Discrimination

"Person(s) of Authority" include, for the purposes of this policy and related procedures, any person who has charge of a workplace, authority over another Employee or authority in the administration of education, including supervisors, managers, senior management and Faculty leadership (e.g. Deans, Associates Deans, etc.).

"Poisoned Environment" is a form of indirect Discriminatory Harassment. It occurs when comments or conduct (including comments or conduct that are condoned or allowed to continue when brought to the attention of a Person of Authority), ridicule or demean a person or group based upon a Protected Ground. The comments or conduct need not be directed at a specific person, and may be from any person, regardless of position or status.

"Protected Ground(s)" are the grounds contained in the Ontario Human Rights Code under which individuals are protected against discrimination and harassment. All University Members are protected under the following Grounds: "race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, marital status, family status and disability." Employees are additionally protected under the ground "record of offences."

"Report" refers to information about Harassment and/or Discrimination that is reported under the applicable procedures.

"Reprisal" includes retaliation, coercion, dismissal, threats or intimidation of anyone who in good faith: raises complaints or concerns, exercises their rights, or participates in a remedial process under this Policy.

"Respect" is a standard of interpersonal communication and behaviour characterized by self-restraint and consideration for others.

"Respondent" refers to anyone who is alleged to have engaged in behaviours of Harassment and/or Discrimination or who is the subject of a report regarding a breach of this policy.

"Sexual Harassment" means,

1. engaging in a course of vexatious comment or conduct because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or
2. making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

Sexual Harassment includes but is not limited to, sexually suggestive or obscene remarks or gestures, negative stereotypical comments based on gender, sex or sexual orientation, gender identity and gender expression.

"University Member" means any individual who:

- is employed by the University or holds an appointment with the University, including paid, unpaid and/or honorific appointments ("**Employee**");
- is registered as a student, in accordance with the academic regulations of the University ("**Student**"); and/or

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

"Workplace" means any place where Employees engage in any facet of employment activity (e.g. recruitment, training, evaluation and development), including employment activities online, outside the normal place of work, and employment activities that occur outside of normal working hours.

"Workplace Harassment" means,

1. engaging in a course of vexatious comment or conduct against an Employee in a workplace that is known or ought reasonably to be known to be unwelcome, and/or
2. Workplace Sexual Harassment - defined as Sexual Harassment against an Employee in the workplace.

SCOPE AND AUTHORITY

3. The University Secretary and General Counsel is the Policy Owner. The Policy Owner is responsible for overseeing the implementation, administration, interpretation and application of this Policy.
4. The Policy Owner will ensure the Policy is reviewed as often as is necessary, and in any event, at least annually, in consultation with all appropriate departments and the JHSC(s), and in accordance with the University's Policy Framework and relevant Collective Agreements.
5. This Policy applies to all University Members in all aspects of their engagement with the University.
6. Ontario Tech University has a [Student Sexual Violence Policy](#), which sets out a framework for ensuring that students who experience sexual violence are directed to appropriate supports and services and that includes a set of procedures that are completely student-driven; meaning students decide if they want to file a formal report or to participate in informal or formal resolution options. Sexual Harassment, as defined under this policy is also defined as Student Sexual Violence when perpetrated by or against a student. In the event that a student alleges sexual violence against an Employee or an employee alleges sexual harassment by a student, all of the rights, roles, responsibilities and obligations established under the Student Sexual Violence Policy will apply to the Student and this Policy and its related procedures will be applied to Employees.
7. This Policy and its corresponding Procedures do not override or diminish the rights provided to Employees under applicable Collective Agreements, including the right to academic freedom afforded to Faculty. Collective Agreements will supersede this Policy to the extent there is a conflict.
8. This Policy does not preclude University Members from pursuing resolution through external resources and processes, including those offered by the Human Rights Legal Support Centre, the Human Rights Tribunal of Ontario and the Ontario Labour Relations Board.

POLICY

9. The University promotes a campus environment that is equitable, inclusive and accessible, and does not tolerate, ignore or condone Discrimination or Harassment by or against anyone.
10. The University is committed to providing a campus environment in which all University Members are treated with dignity, and to fostering a climate of understanding and mutual respect. Excellence in the university community is fostered by promoting the freest possible exchange of information, ideas, beliefs and opinions in diverse forms, and it necessarily includes dissemination and discussion of controversial topics and unpopular points of view. However, [Freedom of expression](#) and freedom of inquiry must be exercised responsibly, in ways that demonstrate active concern and respect for others, including their ability to participate meaningfully in the exchange of information, ideas, beliefs and opinions (refer to the University's [Freedom of Expression Policy](#)).
11. The University will maintain a respectful campus environment in which the human dignity of each individual is valued, and the diverse perspectives, ideas and experiences of all members of the community are able to flourish. While misunderstandings and conflicts will occur in a complex, demanding and diverse campus environment where collaboration is essential to success, early and informal approaches to resolution should be sought whenever possible and appropriate.
12. To promote a respectful campus environment:
 - 12.1. The University will ensure that procedures are in place for the prevention of, and response to Harassment, Discrimination and other breaches of this policy.
 - 12.2. The University will provide information, instruction and assistance to University Members with respect to Harassment and Discrimination.
 - 12.3. The University will provide Persons of Authority with information and instruction that will enable them to recognize, assess and address Harassment and Discrimination, and to understand how to respond appropriately when such incidents are alleged. The University will also provide Persons of Authority with information and instruction that will enable them to effectively and quickly address disrespectful behavior, Microaggressions and any other behaviours that negatively impact group cohesion.
 - 12.4. Any University Member who believes they have been harassed or discriminated against, or have witnessed Harassment or Discrimination, is expected to make good faith efforts to resolve their concerns depending on the circumstances, and/or Report the situation in a timely manner.
 - 12.5. The University will administer the processes set out in applicable procedures responding to Reports fairly and promptly, with adequate regard to the unique circumstances of each particular case, and in a manner that prioritizes the dignity and privacy of individuals involved.
 - 12.6. Where applicable and appropriate, the University will make available informal dispute resolution processes such as Mediation in an attempt to resolve disputes and underlying conflict at the heart of a Report.

- 12.7. The University will inform and update Complainants, Respondents and relevant Persons of Authority (as appropriate) about the status of dispute resolution processes as they progress.
- 12.8. University Members are protected against Reprisal for submitting a Report in good faith, or for participating in a related dispute resolution process. A University Member who believes they have been penalized for submitting a Report in good faith, or for participating in a related investigation, may pursue the allegation of Reprisal by submitting a Report, and/or may pursue a Reprisal complaint through external processes.
- 12.9. Reprisal protection does not apply to a University Member who submits a Report that is determined to be frivolous or vexatious, or who exhibits bad faith and/or refuses to cooperate in the course of an investigation; each of which are considered breaches of this policy.
- 12.10. The University will respect the privacy of individuals involved in Reports and investigations, ensuring information about a Report is not disclosed, except to the extent necessary to investigate, take corrective action, implement measures to protect the health and safety of University Members and/or restore the learning/work environment, or as otherwise required by law.
- 12.11. Personal Information collected under this Policy will be used only for the purposes of administering this Policy, and will be disclosed only on a need-to-know basis, to the extent disclosure is required to fulfill the University's legal obligations under the *Human Rights Code*, the *Occupational Health & Safety Act*, and any other applicable law and/or legal obligations, including any applicable collective agreement. Subject to applicable law, Personal Information collected, used and disclosed under this Policy will otherwise be kept confidential, and will be stored and disposed of in accordance with *Freedom of Information and Protection of Privacy Act* and Ontario Tech University's *Records Management Policy*.
- 12.12. University Members who engage in Harassment and/or Discrimination, Reprisal or other breaches of this policy will be held accountable and may be subject to disciplinary measures, up to and including termination of employment or academic expulsion.

ROLES AND RESPONSIBILITIES

13. All University Members

- 13.1. Have a shared responsibility for maintaining a respectful environment that is free from Harassment and Discrimination.
- 13.2. Are responsible for familiarizing themselves with this Policy and related procedures;
- 13.3. Will refrain from engaging in Harassment, Discrimination, acts of Reprisal or other breaches of this policy.
- 13.4. Will build and maintain positive and productive relationships and demonstrate Respect in their interactions.
- 13.5. Will work cooperatively and constructively to resolve conflicts they encounter and seek assistance from a Person of Authority, as appropriate, regarding any escalating conflict they are unable to resolve themselves.

- 13.6. Will complete all required Discrimination and Harassment instruction and training within established timelines
- 13.7. Will exercise rights under this Policy in good faith using prescribed channels. For more information on reporting Harassment and Discrimination, refer to the procedures for Employees and Students.
- 13.8. Will participate in and cooperate with the Reporting Process and/or any related investigation, including respecting confidentiality obligations.
- 13.9. Will comply with the corrective measures imposed by the University under this Policy, subject to relevant collective agreements and other appeal rights.

14. Persons of Authority

Persons of Authority are responsible for supporting Ontario Tech University in its duty to create and maintain a respectful environment that is free from Harassment and Discrimination. Therefore, Persons of Authority have additional obligations in addition to the expectations for all University Members (above). Persons of Authority:

- 14.1. Will cultivate a respectful and inclusive environment where people feel safe to raise concerns;
- 14.2. Will ensure expected standards under this Policy are adhered to, including addressing and resolving Microaggressions and other disrespectful behavior should they occur;
- 14.3. Will lead by example, acting with Respect and modelling positive relationship building and constructive conflict resolution skills in dealings with all University Members, and in particular, those under their authority;
- 14.4. Are responsible for ensuring University Members under their authority are aware of this Policy and its associated procedures;
- 14.5. Will avoid the appearance of favoritism and unfairness by following and promoting adherence to evidence-based decision-making and the principles of non-Discrimination outlined in this Policy;
- 14.6. Will consider seriously each incident, concern or Report brought forward by taking immediate action to stop any Discrimination, Harassment or other inappropriate behavior, whether the subject of a formal complaint or not, by following policies and procedures to the extent necessary to ensure compliance (note: A Person of Authority cannot agree “to do nothing,” even when that is requested by a University Member);
- 14.7. Will inform the Human Rights Office about all activities related to Discrimination and Harassment or other concerns and Reports related to this Policy; and,
- 14.8. Will cooperate with the Human Rights Office to implement recommendations and restore areas under their authority that have been disrupted by alleged or actual Policy violations, or complaint resolution processes.

15. Human Rights Office

- 15.1. The Human Rights Office Is responsible for the interpretation and administrative direction of this policy and its associated policies and

procedures to ensure their compliance with regulatory requirements and will take primary responsibility for updating related procedures applicable to Employees and Students, ensuring that all related procedures are reviewed as often as is necessary in consultation with all appropriate departments.

15.2. The Human Rights Office will oversee dispute resolution processes, determine needs and engage specialist support, as necessary, for investigation, fact finding, Mediation or other interventions required to restore the campus to a positive and productive environment, including:

- a)** receiving and responding to Reports from all University Members while ensuring Reports are responded to appropriately using informal and formal dispute resolution methods in a timely and equitable manner, as outlined in this Policy and in related procedures;
- b)** ensuring the appropriate departments and/or individuals are advised of a Report, where appropriate; and,
- c)** ensuring the outcome of an investigation under this Policy, is communicated in writing to Complainant(s), Respondent(s) and relevant Persons of Authority to support corrective and restorative measures.

15.3. The Human Rights Office is also responsible for:

- a)** ensuring that copies of this Policy and related procedures are posted on a University website; and,
- b)** Submitting an Annual Report to the Board of Governors about statistics and trends in human rights complaint activities and other program initiatives

16. Human Resources

16.1. Human Resources is responsible for the following compliance obligations under the *Occupational Health & Safety Act*.

- a)** providing Employees with appropriate information and instruction with respect to Workplace Harassment, including notifying them of this Policy and its related procedures;
- b)** ensuring all Persons of Authority are provided with information and instruction that will enable them to recognize, assess and address Workplace Harassment in their respective workplaces, and will ensure Persons of Authority are aware of this Policy and related procedures;
- c)** ensuring that copies of this Policy and employment-related procedures are posted on the established health and safety bulletin boards where it is likely to come to the attention of Employees; and,
- d)** ensuring the corrective actions taken as a result of an investigation (if any), are communicated in writing to Complainant(s) and Respondent(s) who are Employees;

16.2. Human Resources is also responsible for:

- a) providing Employees and Persons of Authority with appropriate information and instruction with respect to Discrimination and Discriminatory Harassment, including notifying them of this Policy and its related procedures;
- b) Assisting Persons of Authority, in consultation with the Human Rights Office, to address Microaggressions and other disrespectful behaviors that occur in the employment context; and,
- c) Assisting Persons of Authority to implement corrective and restorative measures in areas under their authority that have been disrupted by alleged or actual Policy violations, or complaint resolution processes.

17. Student Life

17.1. Student Life is responsible for:

- a) Providing Students with appropriate information with respect to Discriminatory Harassment and Discrimination, including notifying them of this Policy and its related procedures; and,
- b) Assisting Persons of Authority, in consultation with Human Resources and/or the Human Rights Office, to address Microaggressions and other disrespectful behaviors that occur in the academic or on-campus housing context.

MONITORING AND REVIEW

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

RELEVANT LEGISLATION

19. Human Rights Code, R.S.O. 1990, c. H.19
 Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005
 Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended
 Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c F. 31

RELATED POLICIES, PROCEDURES & DOCUMENTS

20. [NTD: Policy Superseded]Academic Accommodation for Students with Disabilities
[\[Procedures\]](#)

Access to Information and Protection of Privacy Policy

Accessibility [\[Policy\]](#)

Accessible Customer Service [\[Policy\]](#)

Accommodation for Employees and Job Applicants with Disabilities [\[Procedures\]](#)

Change of Gender [\[Policy\]](#)

Exempt Academic Staff [Policy] [NTD: Employment policy]

Exempt Academic Staff Employment (Deans, Associate Deans and Teaching Staff Governors [Procedures] [NTD: Employment policy]

Freedom of Expression [Policy]

Limited Term Academic Associates [Procedures] [NTD: Employment policy]

Emergency Management Plan and Procedures

Fair Processes Policy

Non-Academic Staff Policies

Student Sexual Violence Policy and Procedures

Procedures to Prevent and Address Harassment and Discrimination in the Workplace [NTD: name tbc]

Harassment and Discrimination Procedures for Students [NTD: name tbc]

Records Management Policy

Joint Health and Safety Committee Terms of Reference

Occupational Health and Safety Management System

Student Conduct Policy

Medical Cannabis Use by Students [[Procedures](#)]

Service Animals [Procedures]

Use of Memory Aids by Students with Disabilities [[Directives](#)]

Use of Audio Recording of Lectures by Students with Disabilities [[Directives](#)]

Procedures for Accommodating Employees and Job Applicants with Disabilities

Procedures for Academic Accommodation for Students with Disabilities



| | |
|-----------------------|---|
| Classification Number | <i>To be completed by the Policy Office</i> |
| Parent Policy | Respectful Campus Policy |
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Audit and Finance Committee |
| Policy Owner | University Secretary and General Counsel |
| Approval Date | DRAFT FOR CONSULTATION |
| Review Date | |
| Supersedes | |

PROCEDURES TO PREVENT AND ADDRESS DISCRIMINATION AND HARASSMENT BY OR AGAINST EMPLOYEES

PURPOSE

1. The purpose of this procedure is to establish a dispute resolution framework for the prevention and handling of Employee-based Reports of Harassment, Discrimination and/or Reprisal; ensuring the University effectively addresses and responds to these Reports consistent with legislative obligations.

DEFINITIONS

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

“Administrative Fairness” means that the procedures used in the investigation and decision-making processes adhere to the following elements:

- The Complainant, if any, is given a full and fair opportunity to raise allegations and provide relevant and material evidence in support of those allegations;
- The Respondent knows what the allegations are and receives enough information to provide a meaningful response;
- The Respondent is given a full and fair opportunity to defend against the allegations and provide relevant and material evidence rebutting those allegations;
- The parties receive adequate notice of the nature of the proceedings and of the issue to be decided.
- The parties have a right to an impartial decision maker and freedom from bias
- The decision maker is required to consider all of the relevant evidence and information pertaining to a specific case.
- The decision-making processes run in a timely fashion
- The parties have a right to a support person and/or representation during dispute resolution meeting; and
- The parties are provided the reasons for the decision.

“Balance of Probabilities” means an investigative standard that must be met to determine whether a violation of the policy has occurred based on a finding that “it was more likely than not” that the offence at issue was committed by the Respondent. This is a lower standard than beyond a reasonable doubt, but more than mere suspicion.

“Complainant” refers to an individual who is alleged to have experienced Discrimination, Harassment and/or Reprisal.

"Discrimination" is a distinction, without lawful justification, whether intentional or not, which has the effect of denying benefits to, or otherwise disadvantaging, an individual on the basis of a Protected Ground (defined below). Discrimination may involve direct actions that are discriminatory on their face, or it may involve rules, practices or procedures that appear neutral, but have the effect of disadvantaging one or more groups of people.

"Discriminatory Harassment" means engaging in a course of vexatious comment or conduct, against a University Member in the course of employment or receipt of service, based on any Protected Ground, that is known or ought reasonably to be known to be unwelcome. Discriminatory Harassment may include, for example, taunting or mocking someone’s race, ridiculing an individual’s disability or targeting others with sexual, gender-based or homophobic slurs.

"Employee" means job applicants and individuals performing services directly on the University’s behalf, including administrative staff members, Faculty, volunteers and contract employees. Students who are employed during the course of their studies, are “Employees” for the purposes of this Policy when they are engaged in employment activities, but not otherwise.

“Extenuating Circumstances” means circumstances outside of the investigator’s control that result in delays in the dispute resolution processes described in this procedure. Extenuating circumstances include, but are not limited to, having multiple witnesses, difficulty in scheduling interviews, availability of resource persons or materials, time of year, involvement of law enforcement or existence of a judicial hearing, or other circumstances that may arise through the course of the investigation.

“Faculty” includes a Faculty Member, or previous Faculty Member, at Ontario Tech University, and includes those with both limited term and indefinite term appointments, as well as those with paid, unpaid and honorific appointments. For greater certainty, “Faculty” also includes visiting scholars and emeritus professors.

“Harassment” Is the term used in this policy instrument to represent all forms of harassment: Discriminatory Harassment, Workplace Harassment and Sexual Harassment.

“Interim Measures” mean temporary measures designed to prevent additional acts of Harassment or Discrimination and/or to protect the safety of the Complainant or others. Interim Measures are instituted at any point following a Report and prior to a determination being made under this Policy. Interim Measures take into consideration the severity of the allegations and the varying risks associated with the potential for subsequent acts of Harassment or Discrimination. Examples of interim measures include, but are no limited to, transfer to a different work location, administrative leave, and no contact orders.

“Investigation” means a part of the Dispute Resolution Process in which the University conducts a systematic inquiry into allegations.

“Investigator” means an individual who has the required training and experience to conduct a fair and objective Investigation.

“Mediation” is a structured process in which parties in dispute are assisted by a third-party to discuss a dispute and attempt to arrive at a mutually agreeable resolution. Mediation is a voluntary process and can only proceed if all parties involved agree to participate. Depending on the circumstances, mediation may result in a signed agreement summarizing the agreed upon terms of settlement.

"JHSC" means the Joint Health & Safety Committee(s) at Ontario Tech University.

"Person(s) of Authority" include, for the purposes of this Procedure, any person who has charge of a workplace, authority over another Employee or authority in the administration of education, including supervisors, managers, senior management and Faculty leadership (e.g. Deans, Associates Deans, etc.).

"Protected Ground(s)" are the Grounds contained in the Ontario Human Rights Code under which individuals are protected against discrimination and harassment. All University Members are protected under the following Grounds: “race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, marital status, family status and disability.,” Employees are additionally protected under the ground “record of offences.”

"Report" refers to a complaint of Harassment, Discrimination and/or Reprisal made by or against a University Employee.

“Reprisal” includes retaliation, coercion, dismissal, threats or intimidation of anyone who in good faith: raises complaints or concerns, exercises their rights or participates in a remedial process under the Respectful Campus Policy.

“Respondent” refers to anyone who is alleged to have engaged in Harassment, Discrimination or Reprisal in a Report.

"Sexual Harassment" means,

1. engaging in a course of vexatious comment or conduct because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or
2. making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

Sexual Harassment includes but is not limited to, sexually suggestive or obscene remarks or gestures, and negative stereotypical comments based on gender, sex or sexual orientation, gender identity and gender expression. For the purposes of this Procedure the term “Sexual Harassment” includes incidents of [Student Sexual Violence](#) involving an Employee.

“Student” includes any student who is registered, or was previously registered, at Ontario Tech University.

“University Member” means any individual who:

- is employed by the University or holds an appointment with the University, including paid, unpaid and/or honorific appointments (“**Employee**”);
- is registered as a student, in accordance with the academic regulations of the University (“**Student**”); and/or
- Is otherwise subject to University policies by virtue of the requirements of a specific policy (e.g. Booking and Use of University Space) and/or the terms of an agreement or contract.

"Workplace" means any place where Employees engage in any facet of employment activity (e.g. recruitment, training, evaluation and development), including employment activities online, outside the normal place of work, and employment activities that occur outside of normal working hours.

"Workplace Harassment" means,

1. engaging in a course of vexatious comment or conduct against an Employee in a Workplace that is known or ought reasonably to be known to be unwelcome, and/or
2. Workplace Sexual Harassment (defined as Sexual Harassment against an Employee in the workplace).

SCOPE AND AUTHORITY

3. The University Secretary and General Counsel is the Policy Owner. The Policy Owner is responsible for overseeing the implementation, administration, interpretation and application of these Procedures.
4. The Policy Owner will ensure the Procedures are reviewed as often as is necessary, and in any event, at least annually, in consultation with all appropriate departments and the JHSC(s), and in accordance with the University’s Policy Framework and relevant Collective Agreements.
5. This Procedure applies to Reports made by or against Employees in the Workplace. This procedure necessarily overlaps with other University procedures that are concerned with preventing and addressing incidents of Harassment, Discrimination and Reprisal. Ontario Tech University will administer the overlap according to the following principles:
 - 5.1. This procedure will be applied to all incidents in which an Employee has allegedly experienced Harassment, Discrimination or Reprisal to ensure the University satisfies its commitment to, and its obligations under, legislation and collective agreements.
 - 5.2. Where it is alleged that a Student has, in their capacity as a Student, engaged in Harassment against an Employee, then the matter will be addressed in conjunction with the relevant Student procedures [hyperlink].
 - 5.3. Allegations involving a Student who is also an Employee of the University, and who allegedly engaged in Harassment, Discrimination or Reprisal in the course of their employment, will be handled under this Policy instrument.
 - 5.4. Where an individual, other than a University Member, is alleged to have engaged in Harassment or Discrimination against an Employee, Human Resources and/or the Office of Campus Safety will consult with Members at risk, and other Members if necessary, to determine and implement reasonable measures to protect the health

and safety of its Employees. Because the University does not have the jurisdiction to compel statements from members of the general public, or to impose sanctions upon them, it will not normally conduct a formal Investigation in such cases.

6. This procedure is a mechanism for alternative dispute resolution. It does not preclude complainants from pursuing resolution through external resources and processes, including those offered through grievance arbitration, or by the Human Rights Legal Support Centre, the Human Rights Tribunal of Ontario and the Ontario Labour Relations Board. However, The Human Rights Office may not accept a complaint or may halt dispute resolution processes under this procedure if a complainant decides to pursue external processes or grievance mechanisms on the same or similar matter unless an Investigation is legislatively required.

PROCEDURE

7. **Confidentiality:** Information collected under this procedure will be used only for the purposes of administering the policy instrument and may be disclosed only on a need-to-know basis to the extent required to fulfill the University's legal obligations. Personal Information collected, used and disclosed under this procedure will otherwise be kept confidential. To this end:
 - 7.1. All individuals involved in this procedure will be advised of their duty to maintain the confidentiality of all information disclosed to them in this procedure, including any Personal Information disclosed to them.
 - 7.2. Personal Information obtained during the Reporting Process will not be disclosed except to the extent that disclosure is necessary for the purposes of investigating Reports, taking corrective action, protecting the health and safety of members of the University community, or as otherwise required by law. For example, information may be shared with the Office of Campus Safety if this is necessary to protect an individual.
 - 7.3. Complainants and Respondents who are Employees will be advised of the outcome of an Investigation and the corrective actions taken, if any.
 - 7.4. All records will be maintained in a confidential file, including all related communications, memoranda, reports, statements and evidence. Reasonable steps will be taken to protect against unauthorized access to such documents. These records will be retained, and disposed of, in accordance with the Freedom of Information and Protection of Privacy Act and Ontario Tech University's Records Management Policy.
8. **Reprisal.** Any Reprisal, or expressed or implied threat of Reprisal, for making and pursuing a Report under this procedure is itself considered a breach of the corresponding Policy. Any individual experiencing Reprisal may file a Report, and that Report will be processed under this procedure.
9. **Right to a Support Person(s).** Individuals who attend an interview or meeting under this procedure may be accompanied by a support person. The role of a support person is to provide moral support. Individuals who choose to attend an interview with a support person must choose a support person who is not otherwise connected to the matter under Investigation (such as a witness or fellow Complainant) and will notify the investigator of their support person's name at least 24 hours prior to the meeting. In the case of an Employee who is a member of a bargaining unit, the support person may be a union representative. During an

investigative interview, a support person will not be permitted to make legal submissions or arguments on behalf of the individual, or to disrupt the interview. In any event, individuals who are being interviewed must answer the interview questions themselves.

10. **Safety is Paramount:** Ontario Tech University has an overriding obligation to protect the safety of all University Members. When a University Member is at risk of imminent harm, we reserve the right to investigate and respond appropriately, independent of a Complainant's and/or Respondent's course of action under this procedure.
11. **Support Services:** [The Employee Family Assistance Program](#) has appropriate support services for Employees who experience Harassment, Discrimination and/or Reprisal or to assist Employees who are involved in dispute resolution processes described in this Procedure.

PREVENTATIVE MEASURES

12. **Training:** Human Resources will ensure information and instruction is provided to Employees regarding Harassment, Discrimination and Reprisal. Training programs are available on the [Health and Safety Website](#).
13. **Range of Dispute Resolution Options:** Several options to resolve Harassment and Discrimination concerns are available for Complainants. Informal approaches can foster prompt resolution and prevent escalation; particularly when concerns are raised expeditiously. These are opportunities for parties to resolve a dispute, ensure the Workplace is free from Harassment and Discrimination and address broader issues that caused or contributed to the dispute.
14. **Talk to the person about their behaviour:** Where appropriate, Complainants are expected to make good faith efforts to attempt to resolve matters themselves before filing a complaint. If a person feels they are experiencing Harassment or Discrimination, they should immediately make known to the person responsible that the conduct is unwelcome or offensive. It is important that this message be clear and unambiguous. When presented with a legitimate concern, University Members are expected to make reasonable adjustments to their behaviour to resolve the matter. If addressing the person responsible could lead to safety risks, or is not appropriate, Complainants may pursue other resolution options outlined in these procedures.
15. **Consultation:** Employees may benefit from having expert information and advice before deciding how to proceed with a concern related to this procedure. Complainants can consult a Person of Authority or may make an appointment with the Human Rights Office. Consultations are confidential and can provide advice, assistance, coaching, and referrals to assist Complainants.

REPORTING

16. The Reporting Process

Incidents of Harassment, Discrimination and/or Reprisal should be promptly reported to a Person of Authority and/or the Human Rights Office, and no later than one (1) year after the last incident of alleged harassment, discrimination or reprisal. If the Report is related to an Employee in the Human Rights Office, the report should be directed to the University's General Counsel, in which case the General Counsel will have the responsibilities assigned to the Human Rights Office below.

Step 1 – Submitting a Report

- 16.1.** A “Report”, and the corresponding “Reporting Process”, is initiated when an individual completes the Report form (website here; Appendix X) that is available from the Human Rights Office.
- 16.2.** Person(s) of Authority who witness or are made aware of incidents of Harassment, Discrimination and/or Reprisal must initiate a Report to the Human Rights Office.
- 16.3.** The Human Rights Office will, on its own initiative, initiate a Report when it receives information regarding an incident of Harassment, Discrimination and/or Reprisal in the Workplace, unless such a Report has already been submitted by an individual.

Step 2 – Interim Measures

- 16.4.** Upon receiving a Report, the University will immediately determine whether Interim Measures are necessary, considering the severity of the allegations, and the potential risks to University Members. Interim Measures will be implemented where reasonable and appropriate in the circumstances. Person(s) of Authority, the Complainant, Respondent, the Office of Campus Safety or any other relevant stakeholder, may be consulted on a confidential basis, to determine appropriate Interim Measures.

Step 3 – Assessment

- 16.5.** The Human Rights Office will review the Report and determine if the conduct alleged in the Report would amount to Discrimination, Harassment and/or Reprisal. This determination will be based on an assumption that all of the alleged facts were true. If the allegations set out in the Report would not, if true, amount to Discrimination, Harassment and/or Reprisal, the Human Rights Office will respond to the individual submitting the Report in writing, usually within 30 days, advising that the Report has been reviewed, and that the information provided does not support an allegation of Discrimination, Harassment and/or Reprisal under the Respectful Campus Policy. The individual submitting the Report will also be advised that the Human Rights Office may reconsider the Report if additional and significant information is provided. If there is another process or resource at the University that would be more appropriate for the subject matter of the Report, the individual will be advised of this alternative process.
- 16.6.** If, on the other hand, the information provided would, assuming the alleged facts were true, support a finding that Discrimination, Harassment and/or Reprisal had occurred, the following dispute Resolution options will be considered.

Step 4 – Informal Resolution

- 16.7.** Where appropriate, an informal resolution process, such as Mediation, can be pursued if the Complainant and Respondent consent to an informal resolution processes being pursued and to its format (Note: informal resolution options are

not available related to allegations of Workplace Harassment, which require an investigation).

- 16.8.** Where those involved in the informal resolution process reach an agreed resolution, that resolution will become binding.
- 16.9.** Once an informal resolution process has commenced, the Investigation may be delayed for a maximum period of 30 calendar days, after which, unless a resolution has been reached, the Investigation will be re-commenced.

Step 5 – Investigation

- 16.10.** An Investigation will be conducted if informal resolution options are not appropriate in the circumstances or were not successful in resolving the dispute. The purpose of an Investigation is to: gather evidence and witness statements; weigh the evidence; make findings of fact based on the evidence; and, produce an Investigative report. In an investigation under this Procedure, the Investigator must make a determination having weighed the evidence on a Balance of Probabilities that either: (1) a policy breach occurred; or (2) a policy breach did not occur.
- 16.11.** The Human Rights Office will ensure an Investigation process that is appropriate in the circumstances and that complies with Administrative Fairness requirements. At this stage, consideration will be given to whether the investigation will be conducted internally or externally. The Human Rights Office will review the collective agreement(s) of any individuals involved in the Report, and will ensure the procedural rights granted to those individuals under their respective collective agreements are maintained.
- 16.12.** The Human Rights Office will ensure the complainant and respondents involved in an Investigation, and their respective bargaining agent(s), where applicable, are informed of the investigation process that will be adopted in each particular case.

Step 6 – Determination & Corrective Action

- 16.13.** The Human Rights Office will ensure that the results of the investigation are brought to the attention of, and reviewed by, the appropriate Person(s) of Authority.
- 16.14.** In the event that the Investigation found a breach of policy, the investigator will make recommendations to adequately resolve the inappropriate behavior and restore the Workplace. Human Resources will advise the Person(s) of Authority with respect to appropriate corrective measures, if any, to be taken, including measures aimed at preventing Reprisal.
- 16.15.** Where an Employee is found to have engaged in acts of Harassment, Discrimination and/or Reprisal, corrective measures may include non-disciplinary actions (e.g. education) or disciplinary measures (e.g. a written reprimand, a suspension or termination). Human Resources will ensure such reasonable steps are taken to prevent a recurrence.

- 16.16.** Employees that are members of a bargaining unit shall have any corrective measure(s) imposed in accordance with applicable collective agreement requirements.
- 16.17.** Information about investigation outcomes or corrective actions will be provided in accordance with the procedural requirements of any relevant collective agreement and any applicable laws. At the conclusion of an investigation, The Human Rights Office will ensure that any Complainant and any Respondent are informed, in writing, of the outcome of the investigation. Human Resources will ensure that any corrective actions taken or that will be taken are communicated to the Complainant (Employee) and Respondent (Employee) in writing.
- 16.18.** The Relevant Person(s) of Authority will be responsible for implementing recommendations (including corrective action) in consultation and with the support of Human Resources.

MONITORING AND REVIEW

- 17.** This Procedure will be reviewed as necessary and at least every year. The University Secretary and General Counsel, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

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

RELATED POLICIES, PROCEDURES & DOCUMENTS

Respectful Campus Policy
Accommodation Policy
Accommodation for Employees and Job Applicants with Disabilities
Academic Staff Employment Policies
Access to Information and Protection of Privacy Policy
Emergency Management Plan and Procedures
Fair Processes Policy
Non-Academic Staff Policies
Policy to Prevent and Respond to Sexual Violence for Students
Procedures for Responding to Incidents of Sexual Violence
Records Management Policy
Joint Health and Safety Committee Terms of Reference
Occupational Health and Safety Management System
Student Conduct Policy

Ontario Tech-Durham College Threat Assessment Procedures
Work Refusal Procedures

Governance, Nominations & Human Resources Committee (GNHR)

2021-2022 Annual Report

2021-2022 Work Plan

MANDATE-DRIVEN PRIORITIES

Board Nominations & Recruitment

- Appointment of Governor to Academic Council for 2020-2021
- 2021 student governor election results
- LGIC appointments
- Board & leadership succession planning
- Board recruitment
- Annual election
- Board leadership & committee composition for 2021-2022

Board Professional Development & Education

- PD work plan

Human Resources

- Annual Pension Plan Report
- Collective bargaining

2021-2022 Work Plan

MANDATE-DRIVEN PRIORITIES

Governance

- Terms of Reference review
- By-laws Implementation oversight
- Development of Board Governance EDI strategy
- Engagement with Durham College Board of Governors
- Review of Board committee structure
- Board engagement review
- Policy work:
 - Investigating & Responding to Allegations of Violence, Sexual Violence, Harassment & Discrimination by Governors & Senior Leaders
 - Review of Board of Governors Meeting Procedures
 - Workplace Violence Policy Review
 - Accommodation Policy
 - Respectful Campus Policy
 - Harassment and Discrimination Procedures for Employees

2021-2022 Work Plan

MANDATE-DRIVEN PRIORITIES

Governance

- Compliance oversight
- Annual Board Practices Assessment & Committee Assessment
- Annual Report on Student Sexual Violence Policy implementation
- Bicameral Governance & Community Engagement
- Review of Standardized Orientation Material

Accomplishments

Board Recruitment & Nominations

- Appointed external governor to Academic Council for 2021-2022.

Board Professional Development & Education

- Developed annual PD work plan.
- Joint orientation for new governors and Academic Council
New governor orientation

Accomplishments

Board Professional Development & Education

- OnBoard portal training sessions with new governors.
- PD sessions: *Future of Work; Community Engagement*

Governance

- Reviewed committee Terms of Reference & recommended updates.
- Engaged in strategic discussions;
- Conducted annual Board Practices Assessment & Committee Practices Assessment.
- Development of EDI Strategy; approval of an EDI Statement

Engagement with Durham College Board of Governors

- Coordination of a joint meeting with the executive members of the DC Board

Accomplishments

Policy Work:

- Recommended approval of: Policy Against Violence in the Workplace and the Procedures Against Violence in the Workplace

Human Resources

- Approved the Collective Agreement Bargaining Mandate with the Public Service Alliance of Canada (PSAC), Local 555 (Post-Doctoral Fellows Bargaining Unit)
- Ratified the Collective Agreement with the Faculty Association (FA)
- Oversight of university's labour relations & human resources.

In Progress

Governance

- Continued development of Board Governance EDI strategy.
- Continued implementation of By-law Nos. 1 & 2, which came into effect in September 2018.
- Continued oversight of OnBoard portal implementation, which was introduced in March 2019.
- Continued improvement of Board engagement.
- Continued focus on Board meeting efficiency, materials preparation & professional development.

In Progress

Policy

- Continued oversight of implementation of the Student Sexual Violence Policy and Procedures.
- Oversight of Policy Against Violence, Harassment and Discrimination in the Workplace 2018-2019.

Nominations

- Continued strategic board recruitment

Future Planning

Equity, Diversity & Inclusion

- Continued prioritization of equity, diversity & inclusion into Board practices and decision-making in accordance with the Board's governance EDI strategy

Board Composition & Succession

- Continued development of strategic succession plan.

Board Professional Development & Education

- Further development of strategies to encourage Board engagement.
- Update standardized governor orientation & educational material for new governors.
- Continued incorporation of technology into Board meeting participation & educational material.

General Governance

- Continue to strengthen bicameral governance.
- Strengthen community engagement.

Future Planning

Policy Work:

- Oversight of Accommodation Policy, Respectful Campus Policy, and Procedures to Prevent and Address Discrimination and Harassment By or Against Employees