



## BOARD OF GOVERNORS' 115<sup>th</sup> REGULAR MEETING

### AGENDA

Thursday, April 23, 2020

1:00 p.m. to 3:45 p.m.

[Video Conference Only](#)

1.888.240.2560 (US Toll Free) Meeting ID: 642 302 620

No.		Topic	Lead	Allocated Time	Suggested Start Time
		<b>PUBLIC SESSION</b>			
1		<b>Call to Order</b>	Chair		
2		<b>Agenda (M)</b>	Chair		
3		<b>Conflict of Interest Declaration</b>	Chair		
4		<b>Chair's Remarks</b>	Chair	5	1:05 p.m.
5		<b>President's Report</b>	Steven Murphy	20	1:10 p.m.
		• Pandemic Update			
6		<b>Academic Council</b>	Ferdinand Jones	5	1:30 p.m.
	6.1	Steering Committee Terms of Reference* (U)			
7		<b>Co-Opulous Report</b>	Jim Wilson	5	1:35 p.m.
		<b>Committee Reports</b>			
8		<b>Audit &amp; Finance Committee (A&amp;F) Report</b>	Nigel Allen	30	1:40 p.m.
		<b>Finance</b>			
	8.1	2020-2021 Budget Update* (U)	Andy Gallagher & Lori Livingston		
	8.2	Project Updates (U)	Nigel Allen		
9		<b>Governance Nominations &amp; Human Resources Committee (GNHR) Report</b>	Francis Garwe	5	2:10 p.m.
10		<b>Strategy &amp; Planning Committee (S&amp;P) Report</b>	Thorsten Koseck	10	2:15 p.m.
	10.1	Endowment Disbursement Report* (M)			
11		<b>Consent Agenda: (M)</b>	Chair	5	2:25 p.m.
	11.1	Technology Use Policy*			

No.		Topic	Lead	Allocated Time	Suggested Start Time
	11.2	Amendment to Defined Contribution Pension Plan Statement of Investment Policies and Procedures*			
	11.3	Minutes of Public Session of Board Meeting of February 27, 2020*			
	11.4	Minutes of Public Session of A&F Meeting of February 19, 2020*			
	11.5	Minutes of Public Session of GNHR Meeting of January 16, 2020*			
	11.6	Minutes of Public Session of S&P Meeting of January 30, 2020*			
<b>12</b>		<b>Information Items:</b>	Chair	5	2:30 p.m.
		<b>A&amp;F</b>			
	12.1	Policy, Compliance & Risk Report*			
	12.2	New Building Project*			
	12.3	ACE Enhancement Project*			
	12.4	AVIN Update*			
		<b>GNHR</b>			
	12.5	Annual Pension Plan Governance Report*			
		<b>S&amp;P</b>			
	12.6	Integrated Academic Plan*			
<b>13</b>		<b>Other Business</b>	Chair		
<b>14</b>		<b>Adjournment (M)</b>	Chair		2:35 p.m.
		<b>BREAK</b>		<b>10</b>	
		<b>NON-PUBLIC SESSION (material not publicly available)</b>			<b>2:45 p.m.</b>
<b>15</b>		<b>Call to Order</b>	Chair		
<b>16</b>		<b>Conflict of Interest Declaration</b>	Chair		
<b>17</b>		<b>Chair's Remarks</b>	Chair		
<b>18</b>		<b>President's Report</b>	Steven Murphy	30	2:50 p.m.
	18.1	Chancellor Search Update* (M)			
	18.2	Appointment, Tenure & Promotion* (M)			
	18.3	Confidential Budget Items	Andy Gallagher & Lori Livingston		
		<b>Committee Reports (confidential items only)</b>			
<b>19</b>		<b>GNHR Report</b>	Francis Garwe	5	3:20 p.m.
	19.1	Board & Committee Leadership Succession (D)			

No.		Topic	Lead	Allocated Time	Suggested Start Time
20		<b>S&amp;P Report</b>	Thorsten Koseck	10	3:25 p.m.
	20.1	Advancement Update* (U)			
	20.2	Joint Board Meeting Debrief (D)			
21		<b>Consent Agenda (M):</b>	Chair	5	3:35 p.m.
	21.1	Minutes of Non-Public Session of Board Meeting of February 27, 2020*			
	21.2	Minutes of Non-Public Session of A&F Meeting of February 19, 2020*			
	21.3	Minutes of Non-Public Session of GNHR Meeting of January 16, 2020*			
	21.4	Minutes of Non-Public Session of S&P Meeting of January 30, 2020*			
22		<b>Other Business</b>	Chair		
23		<b>In Camera Session</b>	Chair	10	3:40 p.m.
24		<b>Termination (M)</b>	Chair		3:45 p.m.

Becky Dinwoodie, Secretary

**Consent Agenda:** *To allow the Board to complete a number of matters quickly and devote more of its attention to major items of business, the Agenda has been divided between items that are to be presented individually for discussion and/or information and those that are approved and/or received by consent. A Consent Agenda is not intended to prevent discussion of any matter by the Board, but items listed under the consent sections will not be discussed at the meeting unless a Governor so requests. Governors are supplied with the appropriate documentation for each item, and all items on the Consent Agenda will be approved by means of one omnibus motion.*

## BOARD REPORT

---

**SESSION:****Public****ACTION REQUESTED:****Decision****Discussion/Direction****Information****TO:****Board of Governors****DATE:****April 23, 2020****PREPARED:****Becky Dinwoodie, Assistant University Secretary****SUBJECT:****Academic Council Delegation of Authority to Steering Committee**

---

**MANDATE:**

- In accordance with By-law No. 2, AC has the authority to make recommendations to the Board on the terms of reference of committees to exercise the Academic Council's delegated authority under Article 1.1 of By-law No. 2.
- At a special meeting on March 27, 2020, Academic Council recommended amendments to its Steering Committee's Terms of Reference in order to be able to delegate authority to the committee during times of emergency.
- Given the importance of contingency planning for the academic governance of the university, the Executive Committee of the Board approved the amended Steering Committee Terms of Reference on the Board's behalf on April 7 and it is being reported for information.

**BACKGROUND/CONTEXT & RATIONALE:**

- States of emergency declarations have been made at various levels of government and internationally. In compliance with the directives coming from government, the university is enacting measures and implementing contingency plans to manage the implications of the pandemic affecting the university community.
- The university has a pandemic plan. Measures to date have not arisen from the pandemic plan. They have been in response to measures the government is taking to try to minimize the impact of the pandemic. The pandemic plan deals

with the actual impact of a pandemic – i.e. that employees become ill in significant numbers.

- Like the rest of the university, university governance has been able to continue on line because we had already created the capacity to meet electronically via Blue Jeans.
- As long as it is possible, Academic Council will meet as a whole on Blue Jeans and through conference calls.
- However, Academic Council needed a contingency plan to address a scenario under which it cannot achieve quorum because too many members are ill.
- Other institutions are planning for this eventuality by temporarily delegating authority to a standing committee of their senates/academic councils. Others have gone as far as temporarily delegating decision-making authority to the Provost.
- After considerable thought and discussion, Academic Council requested a change to the terms of reference for its Steering Committee to allow it to delegate authority to the Committee in the event of the inability of Academic Council to achieve quorum.
- The updated terms of reference are attached for ease of reference.

**CONSULTATION:**

- Academic Council: March 24, 31, and April 3, 2020

**SUPPORTING REFERENCE MATERIALS:**

- updated Terms of Reference for the Steering Committee

## ACADEMIC COUNCIL Steering Committee

---

### 1. TERMS OF REFERENCE

- a. The Steering Committee (“Committee”) is the body responsible for facilitating the work of Academic Council (“AC”). The Committee’s responsibilities include:
  - (a) coordinating the business of AC by reviewing and approving the agendas of AC meetings;
  - (b) assigning all matters deemed routine and uncontroversial to the consent agenda;
  - (c) reviewing the reports and proposals being presented to AC to ensure that relevant background material is available to AC members prior to meetings;
  - (d) receiving and reviewing suggested agenda topics from the community and determining whether they are appropriate topics for discussion by AC;
  - (e) considering, preparing and scheduling discussions of broad academic interest between 2 – 4 times per academic year; and
  - (f) coordinating annual reports from the subsidiary bodies of AC.
  
- b. AC may approve a temporary delegation of its authority to the Committee because of an emergency or extraordinary circumstance, as declared by AC:
  - (a) The AC must grant the temporary delegation of authority by resolution.
  - (b) The AC may also limit the scope of this delegation.
  - (c) The delegation of authority will take effect as of a date to be determined by AC or will be triggered by the inability of AC to reach quorum.
  - (d) The delegation of authority will remain in effect until the emergency or other extraordinary circumstance has ended, or until amended or revoked by AC by resolution, whichever is earlier.
  - (e) The Committee will make all efforts to arrange Academic Council meetings such that this delegation of authority is reviewed monthly, or as quickly thereafter as possible.
  - (f) The Committee will report all actions taken on behalf of AC to AC for information as soon as is reasonably possible.

## 2. MEETINGS

The Committee will meet at least 2 weeks before each meeting of AC, or otherwise at the Committee Chair's discretion. In accordance with the *UOIT Act* and By-laws, the Committee shall conduct two types of meetings as part of its regular administration: Public and Non-Public.

## 3. MEMBERSHIP

The Committee shall be composed of:

### ***Ex-officio***

- President & Vice-Chancellor (Chair)
- Provost & Vice-President, Academic
- Chair of the Academic Council committee responsible for undergraduate curriculum
- Chair of the Academic Council committee responsible for graduate curriculum
- Chair of the Academic Council committee responsible for research
- Secretary of Academic Council (non-voting)

### **Elected Representatives from Academic Council**

- Between three (3) and six (6) elected representatives of Academic Council (Teaching Staff, Administrative Staff and Students) to ensure the Committee benefits from a balance of skills, expertise, and knowledge among its membership, while reflecting the demographic and cultural diversity of the communities served by the university.
- One of the elected representatives will also serve as Vice-Chair of Academic Council and the Agenda Committee. The Vice-Chair will be selected in accordance with the relevant procedure established by the Governance and Nominations Committee.

## 4. QUORUM

Quorum requires that a majority of the Committee members entitled to vote be present.



# 2020-21 Draft Operating Budget:

Board of Governors Update

April 23, 2020

Andrew Gallagher, Interim Chief Financial Officer

Lori Livingston, Provost and Vice-President, Academic





# Assumptions Update

- Since the Committee last met, progress was made towards **balancing the operating budget over a three year period**
- In light of **flat tuition revenue, frozen government grant funding** and a ramp-up period required to **increase international enrolment**, the working budget reflected modest operating deficits over the next two years before being fully balanced in 2022-23 (see Appendix)
- By March 13th, 2020 the **COVID-19 pandemic** necessitated the effective closure of most of the University's physical operations, with the focus shifting to online program delivery and remote working for substantially all faculty and staff.
- **Stay at home orders** are assumed to persist through much of the next six months resulting in limited opportunities for student summer employment
- Similarly, available **parental supports** may be reduced and government programs insufficient for many students
- **Travel** for faculty and students will remain restricted for the foreseeable future

## Assumptions Update (cont'd)

- A **decrease in enrolment** in the near term is now expected. Initial assessment on new students suggests a **decrease in tuition revenues** in the \$3M range on 2020-21
- A more pessimistic scenario analyses suggest a decrease in Ontario Tech revenues could be in the range of **\$10M to \$22M** in 2020-21 alone (See Appendix)
- In the past few weeks, it has become evident that the **short- to mid-term operating environment** will dramatically change how we operate
- However, our early experience also provides confidence that in the **medium- to longer-term, Ontario Tech** can be well positioned to **emerge as a leader** in the new paradigm of higher education delivery
- In the pages following, we discuss the significant challenges we face over the next year to **18 months**, as well as outline the initial thinking of how we can gain strategic advantage as we come out of the pandemic crisis

## Operational Response: Short-Term Impact

- An initial impact assessment suggests Ontario Tech faces a **sizeable deficit in the short to medium term** – \$3M in 2020-21 and \$11.2M cumulatively in the next three years
- Cash utilization increases, requiring the use of our operating line of credit through 2020-21 and **permanent financing for our new building** by early 2021-22, with an additional funding need of \$8M over the mid-term
- Establishing the traditional \$2.5M **building reserves** is no longer feasible for the next 3 years
- **Travel budgets** have been cut by 75% and there is an aggressive review of all other discretionary and non-essential costs underway
- All **replacement positions** will be subject to senior leadership review and new hiring requests will be limited to strategic initiatives only
- Faculty and staff support functions are under review and programs to **reduce costs** are being developed

## 3-Year Forecast: March 2020 (travel ban)

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

## Cash Flow Requirements: March 2020 (travel ban)

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

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

\$8k derived from other sources to be pursued



## Strategic Response: Surviving the Short-Term

### ➤ **Commence capital financing discussions for the new building \$25M**

- Advocate for access to CARIE funds (propose \$15M apply to A5)
- Advocate for debenture restructuring (\$3M per year)

### ➤ **Retain current students**

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

### ➤ **Attract new students**

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

# Strategic Response: Positioning for the Future

- **Organization and process redesign for course delivery (Learning Re-imagined, Tech with a Conscience)**
  - Leverage our “tech” advantage and nimbleness
  - “Hybrid” format for all degree programs
  - Commit to growing our virtual assets in all that we do
- **Assess our existing “brick and mortar” capital assets (Sticky Campus)**
  - Reduce building lease commitments (e.g., 11 Simcoe, St. Gregory’s)
  - Assess our existing spaces, redefine how we use space
- **Post-pandemic strategy for new programs, research priorities (Partnerships)**
  - Leverage our expertise, public interest in new programs, research priorities
  - Continue to increase international student enrolments, partnerships
  - Move all levels of English for Academic Purposes (EAP) online
  - Expand Ontario Tech Talent

# Appendix

- Key February 2020 (visa closed) Budget Assumptions
- 3-Year Forecast – February 2020 (visa closed)
- Cash Flow Requirements – February 2020 (visa closed)
- New Building Capital Structure
- Tuition Revenue Growth – February 2020 (visa closed) Strategy
- Enrolment Scenario Planning
- Timeline Revenue Progression

# Key February 2020 (visa closed) Budget Assumptions

## 1. Enrolment

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

## 2. Government Grants

- ▶ Set at the 16/17 level as per new funding formula, except for growth in collaborative nursing grant

## 3. Tuition

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

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

## 5. The strategic target set for Student/Faculty ratio is 31:1

- ▶ 20/21 budget is at 28:1 due to decrease in FTE (projected 31:1 by 22/23)

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

## 3-Year Forecast: February 2020 (visa closed)

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



## Cash Flow Requirements – February 2020 (visa closed)

	<u>20/21</u>	<u>21/22</u>	<u>22/23</u>	<u>Total</u>
	\$ 000's	\$ 000's	\$ 000's	\$ 000's
Beginning Bank Balance	<u>7,411</u>	<u>1,318</u>	<u>12,130</u>	<u>7,411</u>
Operating surplus (deficit)	(189)	(2,271)	2,665	205
Capital Projects				
<i>New Building</i>	(22,650)	(13,402)	(61)	(36,113)
<i>CRWC reserve capital projects</i>	(2,000)			(2,000)
<i>MGP Costs</i>	(2,034)			(2,034)
	<u>(26,684)</u>	<u>(13,402)</u>	<u>(61)</u>	<u>(40,147)</u>
Total cash required	(26,873)	(15,673)	2,604	(39,942)
Cash Sources				
<i>USU contribution</i>	3,225	1,225	550	5,000
<i>Short term investments</i>	17,285			17,285
<i>Donation</i>	270	260	260	790
<i>Building loan</i>		25,000		25,000
<i>Advancement</i>				-
<i>CARIE Funding</i>				-
<i>Other funding sources or cost savings</i>				-
	<u>20,780</u>	<u>26,485</u>	<u>810</u>	<u>48,075</u>
Ending Bank Balance	<u>1,318</u>	<u>12,130</u>	<u>15,544</u>	<u>15,544</u>

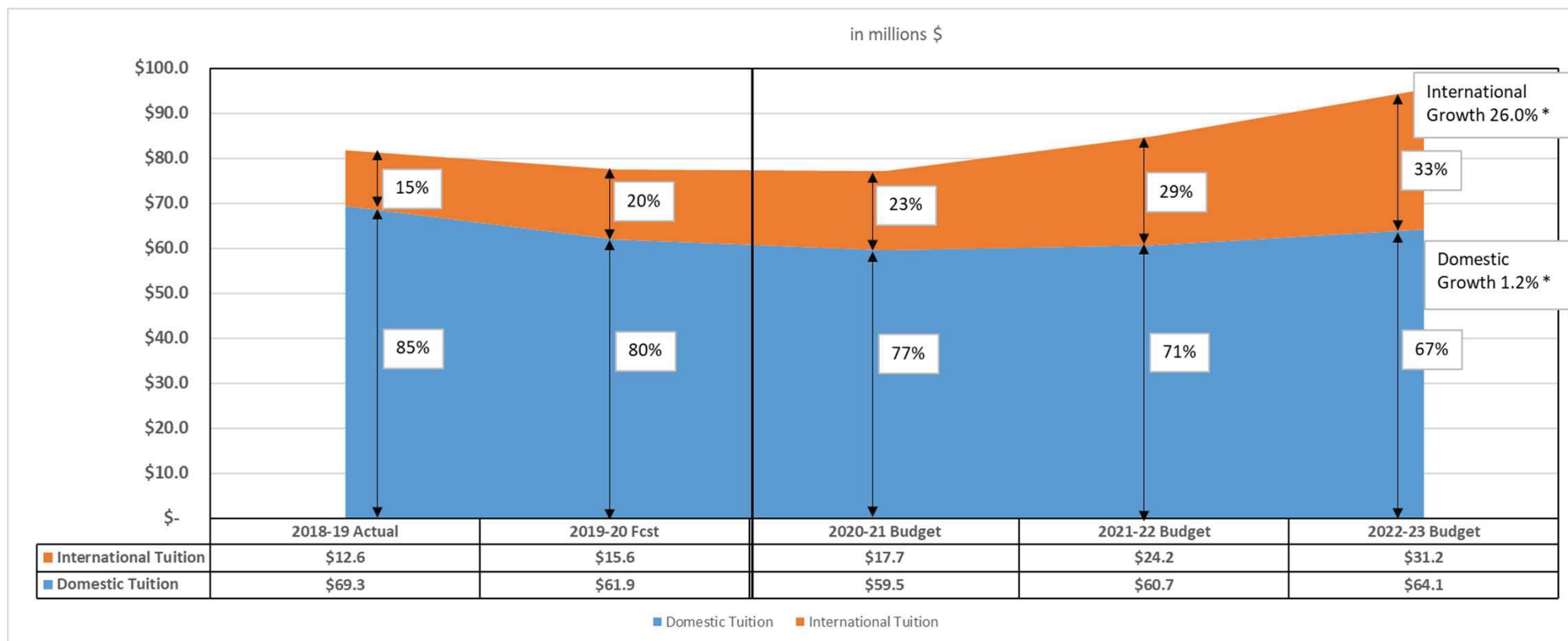
Reflects enrolment of 8,310 domestic and 1,073 international FTE by 2023

Other funding sources to be pursued

## New Building Capital Structure

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

# Tuition Revenue Growth – February 2020 (visa closed)



\*Compounded Annual Growth Rate

# Enrolment Scenario Planning

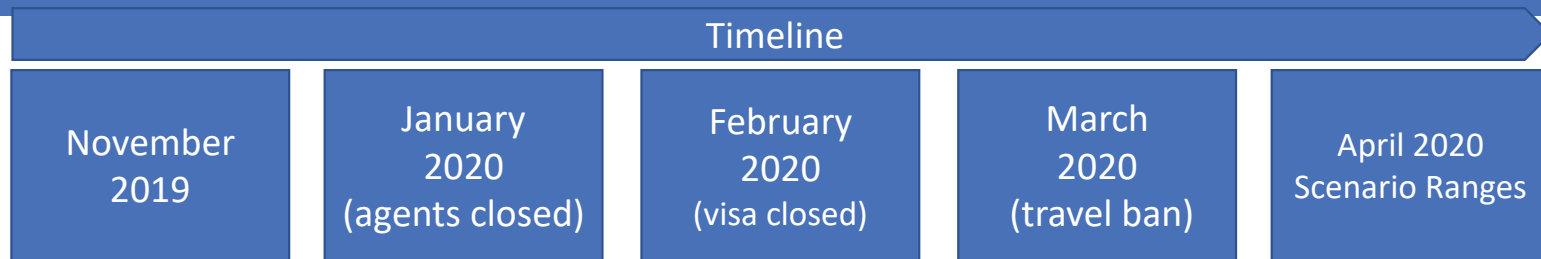
The budget working group has been doing pandemic scenario planning centered around return to school start dates and the potential impact on tuition revenues under various assumptions. Using these assumptions and applying them to pre-pandemic planned enrolment figures, the impact on planned Tuition Revenue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

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

ENROLMENT IMPACT (FTE)		March 2020	April Scenario Analysis		
Projected Decrease vs. Plan		(travel ban)	A	B	C
Intake	Domestic	(100)	(285)	(425)	(560)
	International	(125)	(160)	(235)	(305)
Continuing	Domestic		(350)	(670)	(990)
	International		(90)	(140)	(195)

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

# Timeline Revenue Progression



\$193.0

\$190.4

\$188.6

\$185.6

\$179.0

\$167.1

Revenue Progression





# Disbursement Committee Report

2020-2021 Disbursement Recommendation

# Cumulative Investment Income Summary

Cumulative Net Endowed Earnings at Mar 31, 2019	\$ 5,172,000
Earnings Apr-Dec, 2019	\$ 804,000
Estimated Interest/Dividends Earned Jan-Mar, 2020	<u>\$ 48,000</u>
Cumulative Est'd Net Endowed Earnings at Mar 31, 2020	\$ 6,024,000
Less: Est'd 2019-20 Disbursements	(\$ 550,000)
Cumulative Capital Preservation	<u>(\$2,845,000)</u>
Cumulative Est Net Earnings Available For Disbursement	<u>\$2,629,000</u>

# Cumulative Investment Summary

Endowment Balance at Dec 31, 2019	\$16,558,000
Current Year Donations to Dec 31, 2019	\$ 886,000
Cumulative Earnings Less Distributions	\$ 5,809,000
Unrealized gains	<u>\$ 5,516,000</u>
Market Value of Endowment at Dec 31, 2019	\$28,769,000
Est'd Income Jan-Mar, 2020	\$ 48,000
Est'd Disbursement in Jan-Mar, 2020	<u>(\$ 382,000)</u>
Forecast Investment Balance at Mar 31, 2020	<u>\$28,435,000</u>



# Gift Agreement Requirements

- Endowed Awards can be specific dollar amounts, or could be expressed as a minimum and maximum amount.
- At our current investment level, we need to disburse between 3-4% of the principal value to cover our gift requirements.



# Recommendation

- The Disbursement Committee met on Feb 5, 2020. Our investments have performed well over the last few years, with current year realized income being consistent with the prior year.
- Current cumulative earnings after capital preservation = \$2.63M, up from \$2.55M in prior year.
- The recommendation is to disburse up to \$725,000 for 2020-21, and that this amount be disbursement from Endowment Funds for distribution as student awards.
- Recommendation based on prior year disbursement level (\$550K), estimated increase cash returns based on current year donations (\$25K), and a draw down of \$750K of the cumulative earnings available for distribution over 5 years (\$150K).
- The Investment and Audit & Finance Committees reviewed and recommended the disbursement amount of \$725,000 for distribution as student awards for 2020-2021 during their meetings on February 19, 2020.



# Motion

- *That pursuant to the recommendations of the Strategy & Planning Committee, Audit & Finance Committee, and Investment Committee, the Board of Governors hereby approves the disbursement of up to \$725,000 from Endowment Funds for distribution as student awards in 2020-21.*

# Questions/Comments

## BOARD REPORT

---

**SESSION:**

Public  
Non-Public

☒  
☐**ACTION REQUESTED:**

Decision  
Discussion/Direction

☒  
☐

**TO:** Board of Governors

**DATE:** April 23, 2020

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

**SUBJECT:** Technology Use Policy Amendments

---

**COMMITTEE MANDATE:**

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

**BACKGROUND/CONTEXT & RATIONALE:**

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

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

#### **ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**

- This policy supports the university's commitments to academic freedom and freedom of expression

#### **CONSULTATION:**

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

#### **Consultation Comments and Response**

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

speech or child pornography. These legitimate research activities should not be curtailed by this policy.

- **Response:** We have been careful to craft a policy that supports academic freedom, and have made clarifying amendments to that effect.
- In cases of academic misconduct, faculty members or administrators need clear guidance on when and how they can examine data in university systems to investigate, even when that may constitute an invasion of privacy.
  - **Response:** This policy balances the expectation of privacy of users, with the university's right to maintain security and integrity of its systems and enforce its policies. For this reason, the policy allows authorized personnel to examine data in university systems to support investigations of academic misconduct, student misconduct and other violations of university policy. It also puts in place administrative safeguards to ensure that the examination of data only occurs with authorization, and sets out situations when the examination will occur.
- Members of Academic Council noted that the prohibition on the viewing of pornography and obscene material should be removed, and that these activities would instead fall into conduct prohibited under harassment policies and laws.
  - **Response:** We have benchmarked against the policies of other institutions and note several that prohibit the viewing or dissemination of pornographic material. While the viewing of pornography can be identified as harassment, in our view it is preferable to set a clear expectation that the behavior is prohibited. Clearly prohibiting the viewing of pornographic materials is easy to understand and requires less interpretation on the part of the end user. We have also examined the relevant definitions in the criminal code and concluded that the term "obscenity" should be removed from the policy. Any materials considered as obscene under the criminal code would be prohibited by the prohibition on pornographic material in the workplace.

#### **COMPLIANCE WITH POLICY/LEGISLATION:**

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

#### **NEXT STEPS:**

- Upon obtaining Board approval, the updated policy will be posted in the Policy Library.

#### **MOTION FOR CONSIDERATION:**

*That pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby approves the updated Technology Use Policy, as presented.*

#### **SUPPORTING REFERENCE MATERIALS:**

- blacklined draft Technology Use Policy

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

## TECHNOLOGY USE POLICY

### PURPOSE

1. The University owns, maintains and manages Information Technology (IT) resources to support the educational, instructional, research and administrative activities of the University.
2. While University Members are free to use these valuable resources in pursuit of their individual and collective academic and administrative goals, it is equally important that safeguards are in place to ensure that the information, equipment and networks remain compliant, reliable, robust and secure.
3. This Policy sets out the acceptable and responsible use of IT Resources in a manner that is consistent with OntarioTech the University's values of integrity and responsibility, honesty and accountability, and intellectual rigour.
4. Before University Members can access or use the University's IT Resources, University Members must:
  - 4.1. review this Policy or a terms of use that fully complies with this policy, as well as other policies applicable to the type of user; and
  - 4.2. accept the University's terms and conditions of use.

### DEFINITIONS

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

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

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

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

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

- networks, including wireless access services, wired networks, switching and routing, load balancers, firewalls, telecom equipment and cables, PBX and other network-related devices, equipment and services;
- servers;
- databases;
- business systems;
- student systems;
- learning management systems;
- websites;
- computers and computer systems, laptops, workstations, computer labs, mobile devices, including telephones, storage devices; and
- online collaborative tools including email, and social media sites (e.g., the University's Twitter, Facebook and YouTube accounts).

**“University Member”** means any individual who is:

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

## SCOPE AND AUTHORITY

6. This Policy applies to all University Members’ use of IT Resources and all IT Resources. The use of personally-owned equipment that involves the use of IT Resources is also covered by this Policy.
7. The University is fully committed to promoting and advocating academic freedom. This policy does not limit academic freedom.
8. This Policy does not affect the ~~intellectual property~~ rights of University Members to their intellectual property stored or transmitted using IT Resources. Intellectual property rights are governed by the University’s Intellectual Property Policy.
9. The Provost and Vice-President, Academic or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

## POLICY

### 10. Authorized Use

- 10.1. University Members will:

- a) Use ~~only those~~ IT Resources for which the University has given express authorization, ~~and~~ only for intended purpose(s);
  - b) Take all reasonable steps to avoid compromising the confidentiality, integrity, and availability of IT Resources;
  - c) Abide by applicable laws and regulations;
  - d) Abide by applicable University policies, and;
  - e) Respect the rights and privacy of other University Members and those outside of the University community.
- 10.2.** University Members who fail to comply with this Policy will be subject to one or more of the consequences listed in Section ~~12~~15.
- 10.3.** The University reserves the right to limit or restrict a University Member's access to IT Resources based on:
- a) institutional priorities;
  - b) financial considerations;
  - c) one or more violations of this Policy or other University policies;
  - d) contractual agreements; or
  - e) provincial or federal laws.

## **11. Reporting**

- 11.1.** University Members are responsible for guarding against misuse or abuse of IT Resources.
- 11.2.** University Members will promptly report any known or suspected misuse of IT Resources or violation of this Policy ~~in accordance with the Acceptable Use of Technology Procedures~~ to the Office of the Executive Director, IT Services.
- ~~**11.3.** Procedures for receiving reports, investigating and resolving conduct in contravention of this Policy will be developed by [the Office of the Provost].~~

## **12. Specific Violations**

- 12.1.** Unauthorized Use. Violations of Section ~~9~~10.1.a) include, but are not limited to:
- a) using ~~IT resources~~ Resources without specific authorization where specific authorization is required;
  - b) using another person's electronic identity, password or log-in credentials for IT Resources;
  - c) accessing files, data or processes without authorization;
  - d) using IT Resources to hide a persons' actual identity;
  - e) using IT Resources to interfere with other systems or persons;
  - f) using IT Resources to harass or stalk another person or entity;
  - g) sending threats, "hoax" messages, chain letters, or phishing;



- h) intercepting, monitoring, or retrieving any network communication without authorization; or
- i) circumventing or attempting to circumvent security mechanisms.

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

- a) obtaining or using someone else's password or other authentication credentials for IT Resources;
- b) disclosing a personal password or other authentication credentials for IT Resources;
- c) permitting another User to access or use their account(s) provided by the University;
- d) propagating computer viruses, worms, Trojan Horses, malware or any other malicious code;
- e) preventing others from accessing an authorized service;
- e)f) spreading material that supports bulk mail, junk mail, or spamming;
- f)g) degrading or attempting to degrade performance or deny service; or
- g)h) corrupting, altering, destroying, or misusing data or information.

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

- a) pirate software;
- a)b) access material that is illegal, or that advocates or facilitates illegal acts;
- b)c) download, install, use, stream, or distribute unlawfully or illegally obtained media (e.g., software, music, movies);
- d) override, remove or pause any security software installed on IT Resources by the University or at its direction;
- e)e) access technology that is considered a controlled good under federal law on an unencrypted connection;
- d)f) commit criminal harassment, hate crimes, or libel and defamation;
- e)g) commit theft or fraud; or
- f)h) violate child pornography criminal laws.

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

- a) engage in academic dishonesty or plagiarism;

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

**12.5.** Breach of Privacy. Violations of Section 910.1.e) include, but are not limited to:

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

### **13. Limitations on Personal Use by Employees**

- 13.1.** Employees are permitted to use IT Resources for occasional and limited personal use and consistently with this Policy and the Personal use of University Resources Policy.
- 13.2.** The viewing or distribution of ~~obscene~~, harassing, defamatory, discriminatory, pornographic or hateful material and messages by Employees using IT Resources is prohibited, unless such prohibition infringes upon academic freedom.

### **14. Investigation**

- 14.1.** Reports of conduct by Employees in contravention of this Policy will be addressed by the following means:
  - a) Harassment, violence or discrimination will be investigated under the Policy Against Harassment, Violence and Discrimination in the Workplace, and in accordance with any applicable collective agreements.
  - b) Other violations can be addressed ~~by the procedures for receiving and resolving reports in section 10.3~~ under the Code of Ethical Conduct Policy.
- 14.2.** Reports of conduct constituting Sexual Violence by or against a student will be subject to investigation and sanctions under the Student Sexual Violence Policy.
- 14.3.** Reports of conduct by Students in contravention of this Policy will be subject to investigation and sanctions under the Student Conduct Policy or Academic Integrity Policy, as applicable.
- 14.4.** Reports of conduct constituting Harassment or discrimination not subject to another policy will be investigated under the Harassment and Discrimination Policy.
- 14.5.** Reports of conduct by University Members other than Employees or Students in contravention of this Policy ~~not addressed by another policy will be addressed by the Executive Director, IT Services, in consultation with the General Counsel.~~ can be addressed by the procedures for receiving and resolving reports in section 10.3.

### **15. Consequences**

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

- a) suspension of access to some or all IT Resources;
- b) student expulsion from the University;
- c) discipline and termination of employment; and/or
- d) legal action.

## **16. Privacy**

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

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

- a) the integrity of its IT Resources;
- b) the rights of other University Members or Guests; or
- c) the University's property.

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

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

- a) this Policy has been violated;
- b) any other University policy has been violated;
- c) any federal or provincial law has been violated; or
- d) examination is necessary to protect the integrity of its resources.

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

- a) investigations regarding security, illegal activity, or activity that may contravene the University's Policies and Procedures;
- b) compassionate circumstances, as permitted by law;
- c) where necessary to carry out urgent operational requirements during an employee's absence when alternative arrangements have not been made; and
- d) compliance with law or legal obligations.

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

- 16.6. Authorized University Employees or service providers under contract with the University, who operate and support IT Resources, may access ~~ESI~~Electronically-Stored Information without notice to University Members in order:
- a) to address emergency problems;
  - b) to perform routine system maintenance; or
  - c) for any other purpose required to maintain the integrity, security and availability of the IT Resources.
- 16.7. In the process of monitoring IT Resources, the University will:
- a) use all reasonable efforts to limit access to University Members' ~~ESI~~Electronically-Stored Information; and
  - b) not disclose or otherwise use any University Members' ~~ESI~~Electronically-Stored Information that has been accessed, except in accordance with the applicable University policies, procedures and guidelines, and as permitted or required by law.
- 16.8. If the University is required to disclose a University Member's ~~ESI~~Electronically-Stored Information, in accordance with the law, such disclosure will be reviewed and approved by the Chief Privacy Officer, prior to the release of the ~~ESI~~Electronically-Stored Information.

## 17. Information Assets

- 17.1. Employees who have deleted files from one IT Resource, such as a computer hard drive are responsible for managing copies that may continue to exist in or on other IT Resources, such as shared drives. Employees are responsible for ensuring file management and disposition of Information Assets in accordance with the Records Management Policy, Records Classification and Retention Schedule, and Records Disposition Procedures.
- 17.2. Information Assets created or received outside of IT Resources, such as on a personal smartphone or computer must be stored on approved IT Resources as soon as possible to ensure continuity during an Employee's absence.

## MONITORING AND REVIEW

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

## RELEVANT LEGISLATION

19. *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31
20. *Canada's Anti-Spam Legislation* (*An Act to promote the efficiency and adaptability of the Canadian economy by regulating certain activities that discourage reliance on electronic means of carrying out commercial activities, and to amend the Canadian Radio-television and*

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

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

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

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

**21.** —

## **RELATED POLICIES, PROCEDURES & DOCUMENTS**

**24.** Information Security Policy

**22.** PCI Sustainability Policy

Records Management Policy

Records Retention and Classification Schedule

Records Disposition Procedures

Access to Information and the Protection of Privacy Policy

Personal Use of University Resources Policy

Student Conduct Policy

Academic Integrity Policy

Policy Against Violence, Harassment and Discrimination in the Workplace

Harassment and Discrimination Policy

Student Sexual Violence Policy

Student Sexual Violence Policy and Procedures

Controlled Goods Policy (in development)



## BORR DEPP TPSOTE

**I PI I DN:**

Sublic ☒  
Non-Sublic ☐

Ginf ncif I D vf ct ☐ pes ☒ No

**EO:** 3 of r2 oa0 oFernors

**UAEP:** Avril M&M M

**GTOR:** 0 oFernf ncenNod inf tions ) Jud f n Tesources Bod d ittee  
H0 NJ Tg

**I Q3 yPBE:** QniFersitKoaOntf rio Dstitute oaEecXnolo, KUeane2  
Bontribution Sension Slf n HJBSSg  
I tf ted ent oaD Fesd ent Solicies f n2 Sroce2ures H BSSg

**ABEDN TPCQPI EPU:**

Uecision ☒  
Uiscussion/Uirection ☐  
Dærd f tion ☐

Dclu2e2 in 3 u2, et ☐ pes ☒ No

### BORR DEPP/3 OATU RANUAEP:

As part of GNHR's oversight of the university's human resources policies, strategies and plans, the Senior Administration (Pension & Benefits) Sub-Committee (SASC) (*a sub-committee of SLT*) provides the GNHR with recommendations with respect to the operation and administration of the University's defined contribution pension plan (DCPP).

In accordance with its Terms of Reference, GNHR is responsible for advising the Board on matters concerning the university's human resources policies and compensation plans.

Accordingly, GNHR is seeking the Board's approval to remove the Money Market Fund and replace it with the Guaranteed Investment Deposit Account (GDIA).

### 3 ABL0 TOQNU/BONEPWE ) TAEONAHF:

Due to a change in the regulations governing Ontario registered pension plans effective January 1, 2016, administrators of Ontario registered pension plans must file their

Statement of Investment Policies and Procedures (SIPP) and any SIPP amendments with the Financial Services Regulatory Authority (FSRA).

Following a review of the University's pension investment funds by Mercer (pension investment consultant), the Pension & Benefits Committee made a recommendation to the SASC to remove the current Money Market fund and replace it with the Guaranteed Daily Investment Account (GDIA). In summary, this proposed new pension investment option offers a rate of return of 1.85% (as of December 31, 2019), an 18 bps improvement, over the current Money Market option available to members. There are no fees with the GDIA, unlike the current Money Market with a fund management fee of 0.14% with a year to date return (December 31, 2019) of 1.67% (net of fees). In addition, Sun Life is offering a 40 bps enhancement on the current 1, 3, & 5 year guaranteed investment funds (Current GIC rates 1 year=1.10%, 3 year=1.10% and 5 year=1.10%). Similar to the Guaranteed Investment Certificates (GIC) there is no benchmark for the GDIA fund.

The Statement of Investments Policies and Procedures (SIPP) has been revised to facilitate the proposed change to remove the Money Market fund and to introduce the GDIA fund. The SIPP has been amended and vetted by Mercer (the University's pension investment consultant), and the SASC. The SIPP as amended must be filed with FSRA. A copy of the amended draft SIPP is attached for your review.

**TPI OQTBPI TPCQTPU:**

- None

**DR SHBAEDNI :**

- If not approved, plan members would not have access to an investment option that may perform better than the current Money Market fund offering nor would they receive enhanced GIC rates.

**AHD NRPNE V IEJ RDI DNNYD DNNYAHQPI ) I ETAEP0 B SHAN:**

- This aligns with the university's strategy to make OntarioTech University a remarkable place for work and study.

**AHEPTNAEDYPI BONI DJPTPU:**

- None. GDIA is the only current alternative to Money Market Fund on the Sun Life platform.

**BONI QHEAEDN:**

- March 15, 2018: Mercer & Pension and Benefits Working Group –introduction of GDIA
- September 26, 2019: Mercer & Pension and Benefits Working Group –due diligence report
- September 26, 2019: SASC
- March 26, 2020: GNHR

**BORSHANBP V IEJ SOHDBp/HP0 D HAEEDN:**

- The amendment to the SIPP is compliant with the Ontario Pension Benefits Act and its regulations thereunder.

**RECOMMENDATION:**

*That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the amended Statement of Investment Policies and Procedures for the University of Ontario Institute of Technology — Defined Contribution Pension Plan, as presented.*

---

**RECOMMENDED ACTION:**

- Amended Statement of Investment Policies & Procedures



## Statement of Investment Policies and Procedures

University of Ontario Institute of Technology Pension Plan

**FSRA** Registration Number: 1087808  
April 2020

**APPROVED** on this XX day of April \_\_\_\_, 2020

\_\_\_\_\_  
University of Ontario Institute of Technology



## Contents

### Section 1 – Definitions

1.01	Board of Governors	1
1.02	Custodian	1
1.03	Custodian Agreement	1
1.04	Default Investment Option	1
1.05	Earnings	1
1.06	Employee	1
1.07	Income Tax Act	1
1.08	Member	2
1.09	Pension Benefits Act	2
1.10	Pension Fund	2
1.11	Plan	2
1.12	University	2

### Section 2 – Overview

2.01	Purpose	3
2.02	Description of the Plan	3
2.03	Plan Profile	3
	(a) Contributions	3
	(b) Withdrawals	5
	(c) Benefits	5
	(d) Liabilities	5
2.04	Purpose of the Plan	6
2.05	Administration	6

### Section 3 – Governance Framework

3.01	Delegation of Responsibilities	7
3.02	The Board of Governors	7
3.03	Committees of the Board	8
3.04	Senior Administration Sub-Committee (SASC)	8
3.05	Pension and Benefits (P&B Committee)	8

### Section 4 – Investment Options and Diversification Policy

4.01	Investment and Risk Philosophy	9
4.02	Expected Volatility	9
4.03	Selection of Investment Funds	9
4.04	Number and Diversity of Investment Options	9
4.05	Responsible Investing	9

### Section 5 – Permitted and Prohibited Investments

5.01	General Guidelines	11
5.02	Permitted and Prohibited Investments	11
5.03	Prior Notice Required	11
5.04	Securities Lending	11
5.05	Borrowing	11

## **Section 6 – Monitoring and Control**

6.01	Monitoring of Investment Options	12
	(a) Generally	12
	(b) Performance Monitoring	12
6.02	Replacement of Investment Funds	13

## **Section 7 – Member Rights and Responsibilities**

7.01	General	14
7.02	Investment Decisions	14
7.03	Failure to Make an Investment Decision	14

## **Section 8 – General Provisions**

8.01	Employee Communication	15
8.02	Conflicts of Interest	15
	(a) Responsibilities	15
	(b) Disclosure	15
8.03	Related Party Transactions	16
8.04	Standard of Care	16
8.05	Voting Rights	16
8.06	Co-Ordination with Registered Plan Documents	16
8.07	Policy Review	16
8.08	Plan Expenses and Investment Fees	16

## Section 1- Definitions

---

The following capitalized words and phrases shall have the following meanings in this Statement of Policies and Procedures unless the context clearly indicates otherwise:

### 1.01 Board of Governors

"Board of Governors" means the board of governors of the University of Ontario Institute of Technology appointed in accordance with the *University of Ontario Institute of Technology Act, 2002* (Ontario).

### 1.02 Custodian

"Custodian" means the trust company or insurance company, or any successor trust company or insurance company, appointed by the University to have custody of the Pension Fund pursuant to the provisions of the Custodian Agreement.

### 1.03 Custodian Agreement

"Custodian Agreement" means the agreement between the University and the Custodian governing the custody, investment and administration of the Pension Fund.

### 1.04 Default Investment Option

In the event that a Member has not made an investment election, his or her assets and future contributions will be invested in the Default Investment Option. The Default Investment Option is the BlackRock Target Date fund closest to the Member's 65th birthday.

### 1.05 Earnings

"Earnings" means the base salary, stipends, and any variable pay paid to a Member by the University. However, Earnings do not include any vacation pay paid as a lump sum upon termination of employment or severance pay payable under either statute or common law, but includes statutory pay in lieu of notice.

### 1.06 Employee

"Employee" means an individual employed by the University on a permanent basis who works in one of the following categories:

- (a) academic: employed by the University in teaching or in the conduct of research; and
- (b) non- academic: employed by the University in either a managerial/professional or in an administrative/technical position in the administration of the University.

### 1.07 Income Tax Act

"Income Tax Act" means the *Income Tax Act* (Canada), as amended, the regulations thereunder and the Information Circulars, Interpretation Bulletins and published administrative policies of the Canada Revenue Agency.

**1.08 Member**

"Member" means an Employee who has fulfilled the eligibility requirements as set out under Section 2.02 Description of the Plan below and the Former Employees who continue to have rights or contingent rights to benefits from the Plan.

**1.09 Non-union Member** means a Member who is employed on a non-union basis as a management employee, a coach, a dean or associate dean or a member of the Board of Governors as at the date a determination is required.

**1.10 OPSEU Member** means a Member who is a Member of OPSEU as at the date a determination is required.

**1.11 Pension Benefits Act**

"Pension Benefits Act" means the *Pension Benefits Act* (Ontario), as amended, and its regulations.

**1.12 Pension Fund**

"Pension Fund" means the assets held, administered and invested by the Custodian pursuant to the provisions of the Custodian Agreement and from which the pension benefits of the Plan are paid.

**1.13 Plan**

"Plan" means the University of Ontario Institute of Technology Pension Plan (Registration Number: 1087808) as set out in the plan text and is amended from time to time.

**1.14 University**

"University" means the University of Ontario Institute of Technology (Ontario Tech University) except that any reference in the Statement of Investments Policies and Procedures to the University taking any action, giving any consent, approval or opinion or making any decision shall refer to the University of Ontario Institute of Technology (Ontario Tech University) acting through the Board of Governors for the purposes of the Plan.

## Section 2—Overview

### 2.01 Purpose

This Statement of Investment Policies and Procedures (the “Policy”) provides the framework for the investment of the assets and selection of investment options of the Registered Pension Plan (the “Plan”) sponsored by the University of Ontario Institute of Technology (Ontario Tech University) (the “University”).

This Policy is based on the “prudent person portfolio approach” to ensure the prudent investment and administration of the assets of the Plan within the parameters set out in the Ontario pension legislation and the regulations hereunder, where applicable.

### 2.02 Description of the Plan

The University of Ontario Institute of Technology Pension Plan (“Plan”) was established effective January 1, 2003 as a contributory defined contribution pension plan for eligible employees of the University. The Plan is registered as a pension plan with the Canada Revenue Agency and the Financial Services Regulatory Authority of Ontario effective January 1, 2003.

Each full-time continuing employee shall be required to join the Plan, as a condition of employment, immediately upon the date he or she was hired by the University.

Each part-time continuous employee shall be allowed to join the Plan after twenty-four (24) months of continuous employment if, in each of the two calendar years immediately prior to joining the Plan, he or she had either:

- (a) Earnings of not less than 35% of the Year's Maximum Pensionable Earnings; or
- (b) At least 700 hours of employment with the University.

Plan members are responsible for selecting from an array of investment options offered under the Plan, bearing all of the investment risk and receiving the investment returns attributable to those funds in which they are invested. The University engages a third party pension investment consultant to provide the University with expert investment advice in the selection of various investment options made available to Plan members.

### 2.03 Plan Profile

#### (a) Contributions

##### *Faculty Association Members*

Effective July 1, 2019 until June 30, 2020, a Faculty Association Member shall contribute an amount equal to 3.5% of his or her Earnings to the Plan; and

Effective July 1, 2020, a Faculty Association Member shall contribute an amount equal to 3.75% of his or her Earnings to the Plan

##### *Non-union Members*

Effective November 1, 2019, a Non-union Member shall contribute an amount equal to 3.5% of his or her Earnings to the Plan.

#### *OPSEU Members*

Effective November 1, 2019, an OPSEU Member shall contribute an amount equal to 3.5% of his or her Earnings to the Plan;

#### *Other Members*

A Member who is not a Faculty Association Member, a Non-union Member or an OPSEU Member shall contribute an amount equal to 3% of his or her Earnings to the Plan."

### **Additional Voluntary Contributions**

Faculty Association, OPSEU, Non-Union and other Members may contribute additional voluntary contributions up to an additional 3% of his or her earnings in increments of 1% to the Plan.

### **University Contributions**

#### *Faculty Association Members*

Effective July 1, 2019 until June 30, 2020, the University shall contribute an amount equal to 7% of the Earnings of each Faculty Association Member; and

Effective July 1, 2020, the University shall contribute an amount equal to 7.5% of the Earnings of each Faculty Association Member; and

#### *Non-union Members*

Effective November 1, 2019, the University shall contribute an amount equal to 7% of the Earnings of each Non-union Member.

#### *OPSEU Members*

Effective November 1, 2019, the University shall contribute an amount equal to 7% of the Earnings of each OPSEU Member.

#### *Other Members*

A Member who is not a Faculty Association Member, a Non-union Member or an OPSEU Member shall contribute an amount equal to 3% of his or her Earnings to the Plan.

### **Supplemental Contributions**

The University shall contribute an additional amount up to 2% of a Faculty Association, OPSEU, Non-Union and other Member's Earnings, in increments of ½%, in accordance with the member's election.

#### **Maximum Contributions**

##### *(1) Total Contributions*

The total, in a calendar year, of the member's contributions made pursuant to Member

Contributions outlined above and the University's contributions made pursuant to University Contributions outlined above shall not exceed the maximum allowed under the Income Tax Act for the calendar year. Such maximum shall not exceed the lesser of:

- (i) the money purchase limit for the calendar year; and
- (ii) 18% of the member's compensation for the calendar year.

**(2) University Contributions**

If the maximum contribution limit, set out in Total Contributions outlined above, is or will be reached in the calendar year, the University contributions to the Plan, in respect of a member, shall equal:

- (i) the maximum allowed under the Income Tax Act as determined in Total Contributions outlined above, less the member's contributions made in accordance with Member Contributions outlined above.

For the purpose of this Section, the definitions of "money purchase limit" and "compensation" shall be as set out in the Income Tax Act.

**(b) Withdrawals**

A member is not permitted to make any withdrawals from his or her pension account while employed by the University other than those set out under the Income Tax Act and the Pension Benefits Act.

**(c) Benefits**

Each member who retires or terminates from the Plan, other than because of death, shall be entitled to transfer the balance in the member's pension account out of the Plan, as of the date of the retirement or termination.

The member shall elect to transfer the balance in his or her pension account in one or in a combination of more than one of the following manners:

- (i) As a single premium purchase of a life annuity from a licensed insurance company and in a form acceptable under the Income Tax Act and the Pension Benefits Act; or
- (ii) As a lump-sum transfer to a locked-in registered retirement savings vehicle pursuant to the Income Tax Act and the Pension Benefits Act.

In addition, the Member shall elect to transfer the balance of his or her account attributable to additional voluntary contributions, if any, to either (i) and (ii) above, or have it paid directly to the Member as a single lump-sum payment, less applicable withholdings, if any.

**(d) Liabilities**

The University does not bear the risk of market fluctuations. However, it does have the liability of making the contributions as referred to in paragraph (a) above.



#### **2.04 Purpose of the Plan**

The purpose of the Plan is to provide a vehicle for the tax-effective retirement savings for eligible employees of the University through a combination of University and member contributions.

- 2.05 Administration** The University is the legal administrator and plan sponsor of the Plan and is therefore responsible for all matters relating to the administration, interpretation and application of the Plan, including developing, monitoring and amending this Policy. Any reference in this document to taking any action, giving consent, approval or opinion or making any decision shall refer to the University acting through the Board of Governors for the purposes of the Policy. The University may delegate its powers and duties to a committee, to the Custodian or to one or more service providers.

DRAFT

## Section 3—Governance Framework Overview

---

### 3.01 Delegation of Responsibilities

The University has overall responsibility for the Plan but is entitled to delegate its administrative duties and responsibilities to a committee, third-party advisors and/or third-party agents.

Specifically, the University's responsibilities in the context of this Policy will include:

- (a) Maintenance of this investment policy;
- (b) Selection and removal of investment options;
- (c) Monitoring the compliance of the investment managers, including the investment results with the mandates provided; and
- (d) Selection and utilization of independent external resources, such as the record keeper, performance measurement services, investment consultants and other third parties as required.

The responsibility for administering the Plan members' assets invested in the Plan has been delegated to the record keeper. All investment options are offered through the record keeper. Without limiting the generality of the foregoing, the record keeper's responsibilities include the maintenance of individual Plan member accounts, investment of Plan member contributions, rendering of member statements, and the provision of communication and educational material as developed in conjunction with the University. In addition, the University looks to the record keeper to monitor the performance of the investment managers, and to ensure that the management of the various funds is in compliance with the investment managers' own investment policies and the applicable legislation.

### 3.02 The Board of Governors

The Board of Governors has general oversight responsibility for the administration of the Plan and the administration and investment of the Fund. The Board receives and consider reports from the Governance, Nominations & Human Resources Committee (GNHR) and the Audit and Finance Committee (A&F) to which the SLT reports and approves Plan design changes recommended by the GNHR.

In fulfilling its fiduciary responsibilities, the Board may delegate certain duties and responsibilities to the Senior Leadership Team ("SLT") of the University and the Senior Administration Sub-Committee ("SASC").

### **3.03 Committees of the Board**

The GNHR committee, a sub-committee of the Board, receives and considers reports from the SLT and the SASC with respect to the administration of the Plan and investment of the Fund. The A&F Committee is assigned certain risk management functions and oversees the Plan audit. The SLT is responsible for high level oversight of the sponsor, administration and investment functions for the Plan. The SLT carries out its functions through a sub-committee, the Senior Administration Sub-Committee.

### **3.04 Senior Administration Sub-Committee (SASC)**

The Senior Administration Sub-Committee is a sub-committee of the Senior Leadership Team. The SASC exercises overall responsibility for the proper administration of the Plan and administration and investment of the Fund. The SASC is responsible for reporting to the GNHR and Audit & Finance Committees of the Board.

### **3.05 Pension and Benefits (P&B) Committee**

The Pension & Benefits Committee serves in an advisory capacity with respect to the Plan. 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.

## Section 4—Investment Options and Diversification Policy

### 4.01 Investment and Risk Philosophy

The University recognizes that members of the Plan have different tolerances for risk and different expectations for long-term returns. Some members will view capital preservation as the most important objective, while others will strive to maximize investment returns. Therefore, each member will determine their own investment mix by selecting from a range of investment options provided by the University. Such investment options shall offer varying risk/return profiles and varying time horizons.

### 4.02 Expected Volatility

The design features of the Plan result in members having direct exposure to risk in the investment returns of the Plan's assets. The University has no exposure to investment risk.

In general, there is no specific volatility expected for the Plan's assets. However, it is expected that each fund will experience volatility of returns comparable to its respective market index's standard deviations. The market index (benchmark) for each asset class and/or type of fund is:

Asset Class	Benchmark
GIC	n/a
Guaranteed Daily Interest	n/a
Account	
Fixed-Income	100% FTSE TMX Canada Universe Bond Index
Target Date	As per the benchmark established by the investment manager
Canadian Equity	100% S&P/TSX Composite Index
U.S. Equity	100% S&P 500 Index (C\$)
International Equity	100% MSCI EAFE Index (C\$)
Global Equity	100% MSCI World Index (C\$)

### 4.03 Selection of Investment Funds

In the event that a new investment fund must be selected or an additional investment fund is added to the Plan, investment fund changes will be undertaken with the assistance of a third-party investment consultant.

The criteria used for investment fund(s) shall include the attributes of the investment fund such as the investment objectives, investment strategies, investment risks, the investment management team, the historical performance and fees. Any new investment fund shall be considered in the context of the existing investment funds to ensure each participant in the Plan is able to determine his or her own investment mix by selecting from a range of diversified styles and objectives.

### 4.04 Number and Diversity of Investment Options

The investment options offered to members of the Plan provide members with the flexibility to invest in various asset classes and Target Date Funds.

### 4.05 Responsible Investing

The University believes that the consideration of environmental, social and governance (ESG) factors with respect to responsible investing are an important factor in offering an array of investment options to Plan members. The consideration of ESGs factors supports the Plan

member's ability to determine his or her own investment mix from a range of diversified styles and objectives.

The University obtains ESG fund ratings for each investment option available in the Plan from a third party pension investment consultant and may offer ESG fund options to its Plan members from time to time.

DRAFT

## Section 5—Permitted and Prohibited Investments

---

### 5.01 General Guidelines

The investment options offered in the Plan must comply with the requirements and restrictions imposed by the applicable legislation, including but not limited to the requirements of the *Pension Benefits Act, Ontario*, under which the Plan is registered and the Regulations thereunder, which refers to the federal *Pension Benefits Standards Act, 1985* on investment related issues, the *Income Tax Act* and Regulations (Canada), and all subsequent amendments.

### 5.02 Permitted and Prohibited Investments

In general, and subject to the restrictions in this section (Section 4), the investment manager may invest only in any of the asset classes and in any of the investment instruments prescribed in applicable legislation and as set out in each investment fund's investment policy

### 5.03 Prior Notice Required

In the event of a revision to any of the Plan's investment managers' mandate, the University requires prior notice from the record keeper.

### 5.04 Securities Lending

The Plan itself may not enter into securities loan agreements, although the investment funds may do so if their policies so permit.

The Plan itself may not lend cash, although the investment funds may do so if their policies so permit.

### 5.05 Borrowing

The Plan should not require the ability to borrow funds due to the nature of the Plan and, as such, the Plan shall not borrow money for any purpose.

## Section 6—Monitoring and Control

### 6.01 Monitoring of Investment Options

#### (a) Generally

The University shall monitor and review, at least annually, the performance of the investment options offered to Plan participants relative to the benchmarks set out in paragraph (b) below. In addition, the University will review the performance of each investment option on a risk-adjusted basis and relative to a universe of similar investment funds. Finally, a review of each investment manager's stability, staff turnover, consistency of style and record of service will be undertaken from time to time. The University requires quarterly reporting from the record keeper on fund performance, fund allocation, web-site usage and other service-level statistics.

#### (b) Performance Monitoring

Quantitative performance of an active fund will be considered satisfactory if the annualized rates of return of the funds exceed, by the amount of the objectives shown below, the returns that could have been earned by passively investing in the applicable benchmark index. Quantitative performance of a passive fund shall be considered satisfactory if the rates of return of the funds are within the ranges shown below in the objective:

Fund Option	Benchmark	4-Year Annualized Benchmark Objective
BlackRock LifePath Index Target Date Funds	Varies by fund and adjusts quarterly.	+/- 0.50%
Beutel Goodman Canadian Equity Fund	S&P/TSX Composite Index	+ 1.50%
Fidelity True North Fund	S&P/TSX Capped Composite Index	+ 2.00%
CC&L Group Canadian Equity Fund	S&P/TSX Capped Composite Index	+ 1.00%
Beutel Goodman Small Cap Fund	BMO Small Cap Weighted (Blended) Index	+ 3.00%
BlackRock U.S. Equity Index Fund (Registered)	S&P 500 Index (C\$)	+/- 0.25%
MFS International Equity Fund	MSCI EAFE Net of Dividend Withholding Taxes Index (C\$)	+ 1.25%
BlackRock EAFE Equity Index Fund	MSCI EAFE Net of Dividend Withholding Taxes Index (C\$)	+/- 0.50%
MFS Global Equity Fund	MSCI World ex. Canada Net of Dividend Withholding Taxes Index (C\$)	+ 1.00%

Fund Option	Benchmark	4-Year Annualized Benchmark Objective
MFS Responsible Global Research Fund	MSCI All Country World Net of Dividend Withholding Taxes Index (C\$)	+ 1.00%
PH&N Core Plus Bond Fund	FTSE TMX Canada Universe Bond Index	+1.25%

**Commented [MS1]:** Deleted Money Market reference note no benchmark exists for GDIA fund

The University may increase the frequency of review (i.e., increase the due diligence performed) on a fund for a number of different qualitative factors, including but not limited to such factors as personnel turnover, compliance issues, and deviation from the fund's stated management style.

In the event that a fund does not meet or exceed its stated objectives noted above and is below median in its peer group over the same periods measured (and such failure cannot be explained by management style or process), the fund will be monitored more frequently and will specifically be reviewed at each subsequent meeting to determine if further action is warranted.

## 6.02 Replacement of Investment Funds

Reasons for considering the removal of an investment fund from the Plan include, but are not limited to, the following:

- Performance results which do not achieve stated benchmarks;
- Changes in the overall structure of the investment options offered to Plan participants such that the investment fund is no longer available;
- Unresolved qualitative concerns including changes in personnel, firm structure or investment philosophy that may adversely affect the potential return and/or risk level of the fund being managed; and/or,
- Failure to adhere to the investment policy of the fund being managed.



## Section 7—Member Rights and Responsibilities

---

### 7.01 General

Members are responsible for using the information and decision-making tools made available by the University and the record-keeper to assist them in making those decisions.

### 7.02 Investment Decisions

Each member is responsible for all decisions related to the amount he or she contributes, how much he or she allocates to any given investment option, and whether or not to move funds from one investment option to another. As such, each member bears all of the investment risk and receives the investment returns attributable to those funds in which he or she is invested.

### 7.03 Failure to Make an Investment Decision

Should a member fail to make an investment decision with respect to his or her contributions or with respect to the University's contributions made on the member's behalf, the member's account shall be invested in the Default Investment Option. Where an investment option is removed, and a member fails to reallocate his or her funds invested in the option being removed, that portion of the member's account invested in the option being removed shall be invested in the investment option as chosen by the University at the time of removal and as communicated to members during the transition.

## Section 8—General Provisions

---

### 8.01 Employee Communication

The University will oversee education and communication to Plan participants and may delegate some or all of the following information to the record keeper. Information relating to the Plan and investment options shall be made available to plan participants upon request. An investment education seminar shall be provided to plan participants, including the fundamentals of investment education, the trade-off between risk and return, and diversification as a means to reduce specific risk. Specifically, information will be provided as appropriate in the following context:

- (a) Introducing the Plan to members;
- (b) Information on the investment options;
- (c) Information on transacting investment instructions;
- (d) Information on applicable fees, expenses and penalties;
- (e) Member statements at least semi-annually;
- (f) Information on changes to the investment options offered;
- (g) Performance reports on investment options;
- (h) Information enabling a member to assess his/her individual investment risk tolerance; and/or
- (i) Information pertaining to various retirement income options.

### 8.02 Conflicts of Interest

#### (a) Responsibilities

This standard applies to the University, as well as to all agents employed by them, in the execution of their responsibilities under the Plan (the "Affected Persons").

An "agent" is defined to mean a company, organization, association or individual, as well as its employees who are retained by the University to provide specific services with respect to the investment, administration and management of the assets of the Plan.

#### (b) Disclosure

In the execution of their duties, the Affected Persons shall disclose any material conflict of interest relating to them, or any material ownership of securities, which could impair their ability to render unbiased advice, or to make unbiased decisions, affecting the administration of the Plan assets.

### **8.03 Related Party Transactions**

Related party transactions shall have the same meaning as set out in Section 17 of Schedule III of the Federal Pension Benefits Standards Act, 1985 with respect to the criteria as to whether a transaction is nominal or immaterial to the Plan under the related party rules.

A “related party” is defined to mean the administrator of the Plan, including any officer, director or employee of the administrator. It also includes the investment managers and their employees, a union representing employees of the employer, a member of the Plan, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. Related party does not include government or a government agency, or a bank, trust company or other financial institution that holds the assets of the Plan, where that person is not the administrator of the Plan.

### **8.04 Standard of Care**

The University and their agents shall exercise the care, diligence and skill in the administration and investment of the Plan that a person of ordinary prudence would exercise in dealing with the property of another person. Such persons must further use all knowledge and skill that they possess or ought to possess.

### **8.05 Voting Rights**

The University has delegated voting rights acquired through the investments held by the Plan to the custodian of the securities to be exercised in accordance with the investment manager’s instructions. The investment managers are expected to exercise all voting rights related to investments held by the Plan in the interests of the Plan members.

### **8.06 Co-Ordination with Registered Plan Documents**

If any term or condition of this Policy conflicts with the registered plan documents including insurance policies and custodial agreements, the terms and conditions of the respective plan documents, insurance policies and trust agreements shall govern.

### **8.07 Policy Review**

The University shall review the Policy once per annum and, if required, will amend the Policy. Any, amendments to the Policy shall be filed with the Financial Services Commission of Ontario

### **8.08 Plan Expenses and Investment Fees**

The University shall pay all normal and reasonable fees, taxes, and expenses related to the general administration of the Pension Fund and the Plan but not including investment, record-keeping and other transaction fees relating to the investment and administration of the Member’s Pension Account, which are the responsibility of the Members.



## BOARD OF GOVERNORS' 114<sup>th</sup> REGULAR MEETING

**Minutes of Public Session of Meeting of Thursday, February 27, 2020**

**1:00 p.m. to 3:10 p.m.**

**55 Bond Street, DTB 524**

### **GOVERNORS IN ATTENDANCE:**

Doug Allingham, Board Chair  
Nigel Allen, Chair of Audit & Finance Committee  
Stephanie Chow, Chair of Investment Committee  
Francis Garwe, Chair of Governance, Nominations & Human Resources Committee  
Thorsten Koseck, Chair of Strategy & Planning Committee  
Liquan Cao  
Kevin Chan (via videoconference)  
Laura Elliott  
Ferdinand Jones  
Dale MacMillan (via videoconference)  
Mark Neville  
Dietmar Reiner  
Maria Saros  
Trevin Stratton  
Jim Wilson

### **REGRETS:**

Owen Davis  
Kori Kingsbury  
Noreen Taylor, Chancellor  
Lynne Zucker

### **BOARD SECRETARY:**

Becky Dinwoodie, *Assistant University Secretary*

### **UOIT STAFF:**

Cheryl Foy, *University Secretary & General Counsel*  
Les Jacobs, *VP, Research and Innovation*  
Barb Hamilton, *Assistant to the University Secretary & General Counsel*  
Lori Livingston, *Provost & VP Academic*  
Brad MacIsaac, *Assistant Vice-President, Planning and Analysis, and Registrar*  
Susan McGovern, *VP External Relations & Advancement*  
Pamela Onsiong, *Director, Planning & Reporting*

## **GUESTS:**

Robin Kay, *Interim Dean of Faculty of Education*

Lori May, *Faculty of Education*

Isabel Pedersen, *Faculty of Social Science and Humanities*

### **1. Call to Order**

The Chair called the meeting to order at 1:15 p.m.

### **2. Agenda**

*Upon a motion duly made, the Agenda was approved as presented.*

### **3. Conflict of Interest Declaration**

There was none.

### **4. Chair's Remarks**

The Chair welcomed everyone to the first Board meeting of 2020. He reported on his attendance at the recent ACE: Extreme Classroom event. F. Garwe and L. Elliott also attended the event. There were approximately 125 guests. The Chair remarked that it was an outstanding event and thanked all of the staff involved in organizing the event. The event received a lot of positive feedback on social media. L. Elliott noted the tremendous energy of the students in attendance, as well as the breadth of opportunity for students that ACE provides. The Chair advised that given the popularity of the event, another will likely be planned for later in the year.

The Chair noted the full agenda and that the Board would be considering several exciting proposals. He also commented that the strategic discussion on universities and the skills gap would lead into the Talent Initiative proposal nicely.

### **5. President's Report**

The President shared that it was a busy time at the university, with an event planned for almost every night. He thanked the Chair for being integral to the organization of the ACE event. The event introduced the university to a new audience. Attendees were blown away by the facilities and our students.

The President discussed the recent Red Dress Campaign, honouring Missing and Murdered Indigenous Women. Such events play an important role in reconciliation, which must go beyond words. He informed the Board that the new building will receive an Indigenous name. The President explained the process for giving a building an Indigenous name, which involves a sweat with local elders. The President also reported on the Black History Month event held at the Regent Theatre.

#### **5.1 Strategic Mandate Agreement 3 (SMA3)**

The President thanked L. Livingston and B. MacIsaac for their work on the SMA3. The university is being asked to report on ten metrics, six of which will come into effect next year. The metrics will directly affect government funding and be tied to performance. Past SMAs consisted of more qualitative elements and the SMA3 is more quantitative. There has been some government receptivity to tweaking the measures if the proposed

changes are logical. The university's second draft has been submitted for Ministry review. He reminded the Board that the SMA3 is more of an economic exercise and less of a strategic one. The SMA3 will have profound implications for the university's funding.

## **5.2 Strategic Discussion: Universities & the “Skills Gap”**

The President started off the discussion. He shared a story regarding his first publication on skills in 1999. At the time, there was a shortage of heavy equipment operators. He observed that people tend to be bad at learning from history and that it would be beneficial to be more strategic. The President warned against “playing whack a mole” (e.g. if there is a need for boilermakers over the next five years, should consider how to train students in three skilled trades as opposed to one). Employers are reporting a need for talent, from PhDs to labourers. This presents an opportunity for Canada to be more strategic. There is a lot to learn and the university can play a key role in identifying employers' immediate needs and providing people who can adapt regularly. It will also be important to promote continuous, lifelong learning until it becomes normalized.

## **5.3 Establishment of the Ontario Tech Talent Initiative**

The President presented the proposal to establish the Ontario Tech Talent Initiative. It will be the first entity in Canada to provide such training. The initiative would be set up solely to work with industry to identify skills gaps. The initiative would create a powerful set of methodologies that would be deployed to determine common sets of skills employers want across graduates and then deliver training in conjunction with partners. This is intended to supplement our students' degrees. A degree provides the foundation for our graduates and this additional education would help them become more career ready. The initiative would partner with industry to develop micro credentials and deliver stackable credentials together with the industry partners.

The President explained the rationale for setting up a separate for-profit entity. It has the potential to become an important revenue generator, if executed properly. There was a discussion regarding what the success of the initiative would look like. Ideally, students would begin to plan in their third and fourth years to take these courses to prepare for jobs.

The President emphasized the importance of getting to market quickly and benefitting from the “first mover” advantage. The President advised that the initiative was announced during that week's Academic Council meeting and there were no questions from Council members.

The Board Chair expressed full support for the initiative, as it would benefit our students, alumni, and the community. It would also be helpful to generate revenue.

C. Foy walked through the key elements of the resolution, which was included in the meeting material, with the Board. She confirmed that CURIE would cover the entity's activities at no additional cost. She also advised that the Board of Governors would appoint the board of the new entity annually. C. Foy explained the rationale for the university being the sole shareholder of the entity.

The President responded to questions from the Board. Board members expressed excitement at the innovative proposal. There was a discussion regarding how this

initiative would interact with initiatives at Durham College (DC). The President advised that in many ways, the initiative is complementary to DC initiatives. DC has done a good job of identifying skills required by their graduates. The distinguishing factor is that colleges have been good at being connected to industry, whereas universities have been slower to do that. This initiative would differentiate Ontario Tech from other universities.

There was a discussion regarding the target market of the initiative. The initiative would start locally with our students and alumni (greater GTA, Durham, Northumberland). The competitors are mainly private sector and consulting firms.

There was also a discussion of what the reporting structure to the Board would look like. It would be helpful for the board of the new entity to develop KPIs and report on those to the Board of Governors. The President added that if this is done well, he anticipates the initiative would take approximately three years before it breaks even.

*Upon a motion duly made by S. Murphy and seconded by D. Reiner, the Board of Governors unanimously approved the following resolution:*

*WHEREAS the Board has determined it is in the interest of the University to establish a for-profit corporation for the purposes of pursuing the Ontario Tech Talent initiative (the “**Purpose**”);*

*THEREFORE BE IT RESOLVED THAT:*

- 1. the University incorporate a wholly-owned subsidiary under the Business Corporations Act (Ontario) (the “**Act**”), with a name as determined by the President of Ontario Tech (the “**Subsidiary**”), to fulfill the Purpose;*
- 2. the following with respect to the incorporation and organization of the Subsidiary is hereby authorized and approved:*
  - (a) entry into, execution and delivery of articles of incorporation for the Subsidiary, which provide for the issuance of a single class of common shares, and a board of directors ranging from 1 to 10 directors, substantially in the form of Exhibit “A” (the “**Articles**”);*
  - (b) the issuance of 100 common shares to the University at the price of \$1.00 per share;*
  - (c) that the number of directors be set at three (3);*
  - (d) the adoption of a standard form of corporate by-law, substantially in the form attached hereto as Exhibit “B” (the “**By-Law**”), which, amongst other things, provides:*
    - (i) for a quorum of the board of the Subsidiary to consist of a majority of the directors,*
    - (ii) for the indemnification of directors as set out in the university’s General By-Law No. 1*
    - (iii) that the directors shall have the authority to appoint officers of the Subsidiary, including the board chair,*
    - (iv) that any contracts or similar documents of the Subsidiary can be signed by any two persons who are directors or officers,*
  - (e) the appointment of a board of three directors of the Subsidiary, being Steven Murphy, Cheryl Foy, and Lori Livingston, to stand as directors until the earlier of their removal by the University in its capacity as sole shareholder, or the first annual shareholders meeting of the Subsidiary, subject to their re-appointment in accordance with the By-Law;*



- (f) *the inclusion of the directors and officers of the Subsidiary in the directors and officers insurance policy of the University;*
  - (g) *the waiver of the audit of the Subsidiary and the appointment of \_\_\_\_\_ as accountants of the Subsidiary;*
  - (h) *the financial year-end of the Subsidiary shall be March 31;*
  - (i) *the opening of a bank account in the name of the Subsidiary;*
  - (j) *the registered office address of the Subsidiary shall be the address of the University; and*
  - (k) *all matters related to or ancillary to the above, which will assist with fulfilling the Purpose;*
3. *any **two** of Steven Murphy, Cheryl Foy and/or Lori Livingston, be and are hereby authorized and directed, for and in the name of the University, in its capacity as sole shareholder of the Subsidiary, to:*
- (a) *execute and deliver the Articles, the By-Law, and any shareholders resolutions regarding them;*
  - (b) *execute and deliver shareholders resolutions regarding the matters set out in paragraph 2 above, including any matters ancillary thereto which require shareholder's resolutions;*
  - (c) *execute and deliver any consents required for the Subsidiary to use any names or trademarks of the University, including "Ontario Tech" and "Ontario Tech Talent";*
  - (d) *execute and deliver all such other agreements, documents and instruments and to take all such further actions as determined in their absolute discretion and opinion as may be necessary or desirable to successfully incorporate, organize and establish the Subsidiary as a stand-alone entity and going concern, or necessary or desirable to carry out the foregoing provisions of this resolution, the completion of all such acts and things and the execution of all such documents, instruments and agreements in accordance with this subsection being conclusive evidence of such determination*
  - (e) *obtain any regulatory or other approvals required, including the arrangement of tax and business numbers and accounts;*
  - (f) *take all such further actions as may be required to give effect to the provisions of this resolution;*
4. *from time to time, and at each annual meeting of the Subsidiary, the **President of the University** shall present a slate of directors for approval by the Board, acting in its capacity as the board of the sole shareholder of the Subsidiary; and*
5. *in accordance with the Articles, the By-Laws, and the Act, the Board reserves unto itself, in its capacity as the board of the sole shareholder of the Subsidiary, the power to impose on the Subsidiary such other conditions as the Board may deem necessary from time to time.*

The Board applauded upon approval of the motion.

## 6. Academic Council

F. Jones delivered the Academic Council report. He reported that Academic Council hosted its second Colleagues Exchange of the year that week, which focused on timing of exams and the academic dates for 2020-2021. Academic Council has been part of the Integrated Academic Plan and Strategic Research Plan consultations. It also approved Program Review Final Assessment Report Executive Summaries for the following programs:

- Bachelor of Science in Chemistry



- Bachelor of Arts in Political Science
- Master of Engineering Management and Graduate Diploma in Engineering Management

Council also approved the Program Review 18-Month Follow-Up Final Assessment Report for the Bachelor of Arts in Communication and Digital Media Studies. The reports are available online. He also advised that the 2020 Academic Council election was also underway.

### **6.1 Proposal to Establish Digital Life Institute (DLI)**

F. Jones provided an overview of the proposal to establish the DLI, which was included in the meeting material. S. Murphy acknowledged that Dr. Isabel Pedersen was in attendance and she would be leading the DLI. He noted that the DLI aligns perfectly with the university's strategy. K. Chan expressed support for the proposal and suggested that Facebook be added to the list of potential partners.

*Upon a motion duly made by F. Jones and seconded by M. Neville, pursuant to the recommendation of Academic Council, the Board of Governors unanimously approved the establishment of the Digital Life Institute, as presented.*

The Board applauded the newly approved institute.

### **6.2 Proposal to Establish Centre for Small Modular Reactors (CSMR)**

F. Jones provided a brief summary of the proposal. D. Reiner remarked that it was another fabulous initiative. He commended the university for recognizing the trend of the nuclear industry and how it will form a big part of how Canada meets greenhouse gas emissions standards. S. Murphy added that it complements the university's energy consortium. He also noted that the establishment of the CSMR would position us well to obtain funding.

There was a discussion regarding the faculty leading the CSMR and the risk to the success of the CSMR should those faculty members leave the university. There was also a discussion regarding whether the university is exploring potential collaborations with private/public sector agencies. L. Jacobs confirmed that those conversations are taking place.

*Upon a motion duly made by F. Jones and seconded by T. Koseck, pursuant to the recommendation of Academic Council, the Board of Governors unanimously approved the establishment of the Centre for Small Modular Reactors, as presented.*

### **6.3 Post-Baccalaureate Diploma in Teaching English to Speakers of Other Languages**

F. Jones presented the proposal to the Board. There was a discussion regarding the competitive nature of the program and the market research conducted when preparing the proposal. R. Kay advised that there is no TESOL program in the Durham Region and it would be more convenient for residents of Durham. The scheduling of the university's program will allow people who are working full-time to participate in a part-time program.

There is also an online component to allow for remote participation. This flexibility will be helpful for people who might not be able to commute.

There was also a discussion regarding how the university's program can be differentiated from other programs (e.g. include a STEM focused component). R. Kay advised that the online aspect will distinguish our program from many others. F. Garwe expressed support for the proposal and remarked that it would be very useful for the health care sector in Durham. J. Wilson commented that for the placement part of the program, there should be no problem finding local placements.

*Upon a motion duly made by F. Jones and seconded by J. Wilson, pursuant to the recommendation of Academic Council, the Board of Governors unanimously approved the establishment of a Post-Baccalaureate Diploma in Teaching English to Speakers of Other Languages program, as presented.*

## **7. Co-Populous Report**

J. Wilson delivered the co-populous report. In January, Durham College (DC) launched phase 4 of its Whitby campus expansion, which will expand their industrial skilled trades training capacity. In February, DC launched its Centre for Cybersecurity and Innovation. J. Wilson also reported on the FIBA basketball game held on campus, which had 2500 spectators. He shared that the DC Board was excited about the upcoming joint Board meeting.

## **Committee Reports**

### **8. Audit & Finance Committee (A&F) Report**

#### **Finance**

##### **8.1 Third Quarter Financial Reports**

N. Allen delivered the A&F report. At the committee's first meeting of the year, they reviewed the third quarter financial reports, which were included in the meeting material. He provided a summary of the key highlights:

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

##### **8.2 2020-2021 Budget Update**

L. Livingston, P. Onsiong, and B. MacIsaac delivered the budget update, which was included in the meeting material. They responded to questions from the Board. There was a discussion about shifting focus on international students from China to other regions (e.g. Latin America). B. MacIsaac advised that China represents less than 40%

of our international students and we have a smaller percentage of students from the Caribbean. There was also a discussion about the likelihood of meeting the new SMA3 metrics and obtaining full grant funding. The Board was advised that the university is confident about meeting the metrics for 2020-2021.

L. Livingston discussed the new student success initiatives that will be launched in the fall. The new student success program targeted at first year students will allow students struggling with academic performance to stay with their cohort and keep the friends they made during their first year. The students will be able to take 2-3 courses in their area of interest while concurrently taking a course to assist with improving their performance in university. One of the conditions of the program will be that the student must meet with their advisor weekly. There was a discussion regarding the projected success rate of the program.

There was also a discussion regarding the competitiveness of the university's international tuitions with those of other Canadian institutions.

The Chair thanked the senior leadership team for the realistic forecasts.

### **8.3 2020-2021 Tuition Fees**

N. Allen provided an overview of the proposed tuition fees for 2020-2021. The tuition fee framework, released by the provincial government in December 2018, regulates all publicly funded programs and allows for tuition fee differentiation based on program and program year. The framework is based on the principle that in 2020-2021, institutions are expected to charge the same full-time and part-time domestic tuition fees that they charged in 2019-2020, for each program and year of study. International and cost recovery programs are not included in the limits imposed by the provincial framework and those tuition fees have increased based on Ontario comparisons ensuring the university is at or below the estimated median.

*Upon a motion duly made by N. Allen and seconded by T. Koseck, pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors approved the 2020-2021 tuition fees, as presented.*

### **8.4 2020-2021 Ancillary Fees**

N. Allen presented the 2020-2021 ancillary fees for approval. Ancillary fee increases under the Bank of Canada, Consumer Price Index average of 12 months do not require Board approval and this year's CPI is 2.2%. As the university has the highest ancillary fees in the province, this rate has been watched carefully over the past few years and the recommended adjustments keep this in mind. These higher fees are based on decisions made with our students to include items that other institutions may not have at this time, for example:

- the Durham Transit fee that gives students the ability to ride the bus at 25% of the cost of a normal fare;
- two capital projects; and
- dedication to providing Technology Enhanced Learning Environment to our students rather than having them go out and buy the software independently.

After a number of years with no increases or staggered increases, the proposal is to increase almost all fees by the inflationary rate.

B. MacIsaac responded to questions from the Board. A member suggested that the university look at ways to reduce some of the ancillary fees (e.g. UPASS, health care provider fees, etc.) and perhaps increase fees that promote a sticky campus. The Chair provided some background to the UPASS fee - at one time, it was paid for and Durham Regional Transit cancelled it. It was suggested that it might be helpful to have another conversation with the Region.

B. MacIsaac clarified that the proposed ancillary and tuition fee increases are already reflected in the budget.

*Upon a motion duly made by N. Allen and seconded by L. Elliott, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the 2020-21 ancillary fees, as presented.*

One member opposed the motion.

## **8.5 Amendments to Statement of Investment Policies (SIP)**

N. Allen summarized the proposed amendments to the SIP. He advised that the amendments are based on the recommendations of the Investment Committee and the university's Investment Manager, PH&N. There are also several editorial changes to the SIP to reflect the university's rebrand.

N. Allen explained that adding this allocation option would help increase the portfolio's income and reduce overall portfolio volatility and correlations to the broader markets, both of which would be beneficial to the university, especially in this late stage of the economic cycle.

*Upon a motion duly made by N. Allen and seconded by M. Saros, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the proposed amendments to the Statement of Investment Policies, as presented.*

## **8.6 Project Updates**

N. Allen reported that at the last A&F meeting, the committee received progress updates on the university's key capital projects, which have been included in the meeting material for information.

## **9. Investment Committee Report**

### **9.1 Quarterly Report**

S. Chow delivered the Investment Committee report. The university's investment account is at \$28.3m and the cash account is at \$485,000. The portfolio had a positive return in the last quarter, but it was a bit behind benchmark due to the performance of the market neutral funds. The committee also recommended the disbursement of up to \$750,000 for scholarships and bursaries in 2020-2021.

## **10. Governance Nominations & Human Resources Committee (GNHR)**

M. Saros delivered the GNHR report, as she chaired the last committee meeting in F. Garwe's absence. The committee had an engaged discussion about bicameral governance and internal stakeholder engagement. She was pleased to report that the committee reviewed a draft Annual Committee Practices Assessment and supported implementing it as part of this year's Board annual assessment process. Both assessments will be conducted through the OnBoard portal and the committee looks forward to seeing the results.

The committee also received an update on the status of the By-laws Implementation and it is included in the meeting material for reference. The Board of Governors 2020 election is also underway. There was only one vacant position for 2020 and it was for the role of student governor.

## **11. Strategy & Planning Committee (S&P) Report**

T. Koseck delivered the S&P report. The committee had a lengthy strategic discussion focused on universities and the "Skills Gap", which appropriately tied into the Ontario Tech Talent Initiative that was approved earlier in the meeting. The committee also received an update on the university's Women for Stem initiative, which was included in the meeting material for information. The initiative has a fundraising goal of \$2 million to create entrance and in-course scholarships for the next ten years. Each cohort of 20 women entering their first year will be paired with a mentor. The mentorship portion of the program will also provide a variety of opportunities for students to network with their mentors, and attend events with guest speakers, throughout their university years. The initiative is also intended to celebrate the achievements and promote the success stories of women in STEM from across our campus and our community.

The community also received an update on student success initiatives and continued with planning the Board Retreat. T. Koseck reminded the Board that the retreat is scheduled for the evening of May 27 and morning of May 28.

### **Pi Day**

T. Koseck noted that the annual Pi Day of giving is quickly approaching. He provided an overview of the planned events and invited governors to attend, if possible. If governors are unable to participate in person, he encouraged them to help promote the event on social media.

## **12. Consent Agenda:**

*Upon a motion duly made by T. Koseck and seconded by M. Neville, the Consent Agenda was approved as presented.*

- 12.1 Animal Care Committee Terms of Reference
- 12.2 Policy on the Care & Use of Animals in Research & Teaching
- 12.3 Minutes of Public Session of Board Meeting of November 28, 2019
- 12.4 Minutes of Public Session of A&F Meeting of November 20, 2019
- 12.5 Minutes of Public Session of GNHR Meeting of October 10, 2019

- 12.6 Minutes of Public Session of S&P Meeting of October 24, 2019
- 12.7 Minutes of Public Session of Investment Meeting of November 20, 2019

**13. Information Items (also available on the Board portal):**

**A&F**

- 13.1 Compliance, Risk and Policy Update
- 13.2 New Building Project
- 13.3 ACE Enhancement Project
- 13.4 Credit Rating Update

**GNHR**

- 13.5 By-laws Implementation Update

**S&P**

- 13.6 Women for Stem
- 13.7 Pi Day

**14. Other Business**

**15. Adjournment**

*There being no other business, upon a motion duly made by D. Reiner and seconded by L. Cao, the meeting adjourned at 3:23 p.m.*

Becky Dinwoodie, Secretary



**BOARD OF GOVERNORS**  
**Audit & Finance Committee (A&F)**

---

**Minutes of the Public Session of the Meeting of**  
**Wednesday, February 19, 2020**  
**2:00 p.m. to 4:00 p.m.**  
**North Campus, ERC 3023**

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

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

**Guests:** Chelsea Bauer (Faculty Association)

**1. Call to Order**

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

**2. Agenda**

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

**3. Conflict of Interest Declaration**

There was none.

**4. Chair's Remarks**

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

**5. President's Remarks**

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

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

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

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

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

## **6. Investment Committee Oversight**

### **6.1 Quarterly Report**

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

### **6.2 Statement of Investment Policies Amendment (SIP)**

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

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

### **6.3 Endowment Disbursement**

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

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



## **7. Finance**

### **7.1 Third Quarter Financial Reports**

The Chair welcomed A. Gallagher to his first A&F meeting.

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

Several of the key items P. Onsiong reviewed were:

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

### **7.2 2020-2021 Budget Update**

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

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

### **7.3 2020-2021 Tuition Fees**

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

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

### **7.4 2020-2021 Ancillary Fees**

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

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

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

## **7.5 TELE Program**

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

## **8. Project Updates**

### **8.1 New Building**

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

### **8.2 ACE Enhancement**

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

### **8.3 AVIN**

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

## **9. Consent Agenda:**

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

### **9.1 Animal Care Committee:**

#### **(a) Terms of Reference**

#### **(b) Policy on the Care & Use of Animals in Research & Teaching**

#### **(c) ACC Administrative Procedure Series 001: Review & Approval of Animal Use Protocols**

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

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

**10. For Information:**

**10.1 Credit Rating Update**

**10.2 Compliance & Policy Update**

**11. Other Business**

**12. Adjournment**

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

**Becky Dinwoodie, Secretary**



## BOARD OF GOVERNORS

### Governance, Nominations & Human Resources Committee

**Public Session Minutes of the Meeting of Thursday, January 16, 2020**

**2:00 p.m. to 3:15 p.m.**

**Videoconference, ERC 3023**

**Members:** Maria Saros (Acting Chair) (*videoconference*), Laura Elliott (*videoconference*), Kori Kingsbury (*videoconference*), Steven Murphy, Trevin Stratton (*videoconference*)

**Staff :** Jamie Bruno, Becky Dinwoodie, Cheryl Foy, Lori Livingston

**Regrets:** Francis Garwe (Chair), Doug Allingham, Lisa Edgar

#### 1. Call to Order

The Chair called the public session to order at 2:05 p.m.

#### 2. Agenda

*Upon a motion duly made by L. Elliott and seconded by S. Murphy, the Agenda was approved as presented.*

#### 3. Conflict of Interest Declaration

There were none.

#### 4. Chair's Remarks

M. Saros advised that, due to a scheduling conflict, F. Garwe was unable to attend the meeting and she would be chairing in his absence. She welcomed the members to the first committee meeting of the new year.

(T. Stratton joined at 2:07 p.m.)

#### 5. President's Remarks

The President discussed the tragic event of Flight 752. He reported to the Board that there were 2 vigils held on campus last week to honour the victims. He noted that it will take a long time to heal, but the community has come together and is providing comfort during this time of loss.

The President was pleased to advise that the energy initiative is going full steam ahead. He reminded the committee that the goal is to establish a national consortium with representation

from all sectors. The consortium will support the goal of carbon neutrality by 2050 with research. Energy is the largest single area of expertise of the university and the university will be well positioned to lead initiative. He will be travelling to Calgary in February to finalize things with the partners who are already on board.

The President reported that there have been discussions regarding the skills shortage in Canada. The university must continue to thinking about practical ways to ensure our grads have more than just technical skills (e.g. teamwork, business etiquette, etc.). in order to further differentiate Ontario Tech as a job ready university. A committee member commented that we cannot differentiate technology from the professional skills required. In order to prepare a student for the future, they must be nimble and ready for change. If we get distracted by what is missing today, it is likely we will overlook what will be needed in the future.

### **5.1 Strategic Discussion: Bicameral Governance & Internal Stakeholder Engagement**

S. Murphy introduced the discussion. He reviewed the values that underly bicameral governance and emphasized the importance of achieving a healthy balance between the two sides of governance. Over the last decade, institutions are noticing that faculty do not spend as much time on campus as they have in the past. He also noted the university's enhanced ability for collaboration between Faculties because of the lack of departments and silos.

Universities are experiencing less engagement at all levels, likely due to increasing service commitments, family commitments, etc. It is integral to think about ways to get internal stakeholders excited about governance. It is also important to consider how to create more opportunities for faculty to engage with each other and with governance in structural ways and other alternatives. A university is stronger when not only the Board is engaged, but the academics are engaged with each other and the university. A large percentage of what the academy does relies on volunteers (journal reviews, grant referees, etc.)

C. Foy added that good governance involves removing obstacles to help stakeholders work together more effectively. A member commented that the reduction in people giving back is not unique to the university sector. A suggestion was made that a way to strengthen bicameral governance is to identify pain points and work towards solving the problem together. C. Foy related that to the work of the joint Board and Academic Council By-law Review Working Group, which focused on reviewing and updating the by-laws. Tackling a less nebulous problem might work even better.

The committee liked the idea of having a joint strategic discussion and focusing it on a challenge. The members could work in groups to tackle four or five problems and then present their solutions to the rest of the members. Future skills was a proposed topic of discussion. It could be an ideation session with a subset of the Board and a subset of Academic Council. If the initial session goes well, we could replicate the session in order to gain some momentum. It was also suggested that the ideas could be combined (i.e. have an ideation session followed by a bbq

social event). The committee agreed that the Board should focus on engagement with Academic Council before turning their attention to engagement with other internal groups.

## **6. Governance:**

### **6.1 Board Engagement:**

#### **(a) Annual Committee Practices Assessment Development**

C. Foy provided an overview of the background to the development of the annual committee practices assessment. The results of the assessment would be used to identify committee priorities for the following year. The assessment would also provide the Committee Chair with an opportunity to learn how well the committee is working together, as well as giving them a deeper dive into the committee's actual practices and dynamics around the table. C. Foy reminded the committee that she developed the Board assessment when she joined the university in 2013. The faculty governors conducted a review of the assessment in 2017. She advised that the draft committee assessment was developed following a benchmarking exercise.

There was a discussion regarding the compilation of the committee assessment results and with whom the results would be shared. C. Foy confirmed that a high-level summary would be presented during the public session of each committee meeting, with the detailed results being presented during the non-public session. The key themes and trends coming out of the results would be highlighted for the committees. It was suggested that it would be helpful for the Board to review the results of all the committees. The committee supported implementing the committee assessment as presented.

(K. Kingsbury joined at 2:44 p.m.)

#### **6.2 By-laws Implementation Update**

C. Foy provided a status update on the implementation of the new by-laws. She noted that many items on the implementation plan have been completed. She noted the work that has been done on updating the Terms of Reference (ToR) for the committees of Academic Council, the Steering Committee in particular. Once the reviews at the committee level are completed, the Governance and Nominations Committee will be moving down to the Faculty Council level. There was a discussion regarding how the Academic Council Handbook will change as the new procedures and ToR are in place.

### **6.3 Policy Update:**

#### **(a) Policy Against Violence, Harassment and Discrimination in the Workplace 2018-2019 Review Report**

J. Bruno advised that the review is underway and that consultations are continuing, including with the university's Health and Safety committees (one for each campus location). The Health and Safety Committees met in late December and had until yesterday to provide feedback on the

policy. If there are any recommendations coming out of the feedback, he would present them to the committee at the next meeting.

**7. Consent Agenda:**

*Upon a motion duly made by L. Elliott and seconded by K. Kingsbury, the Consent Agenda was approved as presented.*

**7.1 Election Process 2020-2021**

**7.2 Minutes of the Meeting of October 10, 2019**

**8. Other Business**

**9. Adjournment**

*There being no other business, upon a motion duly made by K. Kingsbury, the meeting adjourned at 2:58 p.m.*

Becky Dinwoodie, Secretary



**BOARD OF GOVERNORS**  
**Strategy & Planning Committee (S&P)**

**Minutes of the Public Meeting of**  
**Thursday, January 30, 2020**  
**2:00 p.m. to 3:35 p.m., ERC 3023**

**Attendees:** Thorsten Koseck (Chair), Liqun Cao, Kevin Chan (*videoconference*), Owen Davis, Steven Murphy, Jim Wilson, Lynne Zucker (*videoconference*)

**Staff:** Becky Dinwoodie, Lori Livingston, Brad MacIsaac, Susan McGovern

**Regrets:** Doug Allingham

**1. Call to Order**

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

**2. Agenda**

*Upon a motion duly made by O. Davis and seconded by J. Wilson, the Agenda was approved as presented.*

**3. Conflict of Interest Declaration**

There were none.

**4. Minutes of Public Session of Meeting of October 24, 2019**

*Upon a motion duly made by J. Wilson and seconded by O. Davis, the Minutes were approved as presented.*

**5. Chair's Remarks**

The Chair started off by discussing safety and shared a story about almost being hit by a driver texting while driving.

(L. Cao & K. Chan joined at 2:04 p.m.)



## 6. President's Remarks

The President provided an update on COU's efforts to ensure universities remain on the provincial government's radar. COU is emphasizing that it does not have to be skilled trades OR universities. It is a good time for colleges and universities to work together. It is essential to prepare students for jobs that do not exist yet. It is also important for Canada to think about ways to retain Canadian talent.

The President also discussed the university's government relations. He and S. McGovern continue to encourage government representatives from all parties to make announcements on campus.

The President also updated the committee on the work of Universities Canada. He reminded the committee that research is federally funded. There is a focus on changing EDI through the research lens of universities. There is a lack of data about marginalized group representation as it is voluntary reporting.

The university's energy initiative is in full swing. The purpose of the initiative is to provide research-based evidence to help transition to a carbon neutral economy and to put Ontario on the map in terms of energy and energy technology. It will kick off in Calgary and continue to roll out in 2020.

The President discussed the university's involvement in the early stages of planning for a new hospital in Durham Region, which has forced us to think about what the med school of the future will look like. It is integral to identify the gap in technologies being used in hospitals and the education med students are getting. A new hospital will provide the opportunity to bring the university's engineering expertise to the health sector.

The President responded to questions from the committee.

## 7. Strategy

### 7.1 Strategic Mandate Agreement 3 (SMA3)

L. Livingston updated the committee on the status of the SMA3. The first draft was submitted to the Ministry on December 17. There is a phone call scheduled with the government the following week to discuss the initial draft. L. Livingston emphasized that it is primarily a funding exercise. She anticipated that discussions would continue for some time.

### 7.2 Strategic Discussion: Universities and the "Skills Gap"

S. Murphy introduced the topic for discussion. He posited that what people generally do poorly is learn from history. As an example, he used the current high demand for boilermakers. While the role is in high demand today, we must think about what the individuals in that role will be doing five years from now. It is integral to think about what

the jobs of tomorrow are going to be. The university should be responsive to the skills gap while recognizing that it is a more complex issue. Employers tend to focus on immediate needs and universities should be prepared to push back on industry. Larger organizations disproportionately put money into training their employees. When employers are challenged, they tend to step up.

Since it is difficult to predict the jobs of the future, graduates should be equipped with an agile set of competencies. It is difficult to develop the exact skills needed for jobs through curriculum; however, there are opportunities outside of the curriculum to help prepare students for the workforce.

S. Murphy discussed opportunities available in Health Sciences for completing stackable credentials (med lab and nursing programs). It would start with specific program-related skills and would extend to soft skills development, as well. There was a discussion regarding the university's efforts to develop micro credentials. The university is working on centralizing those efforts. There are Faculties working with continuous education and others working directly with industry. Micro credentials need to be examined in a more comprehensive way going forward.

The Chair commented that when hiring university graduates, employers do not expect them to be experts but do expect them to be problem solvers. There was also a discussion about how individuals already in the workforce need continuing education and upskilling. S. Murphy commented that lifelong learning is critical and changing the culture will take some time.

### **7.3 Women for Stem**

S. McGovern reported on the Women for Stem initiative. She explained that it is a true third-party initiative. The first event was held the night before and it was a success. During the event, many participants were asking about what more they could do for the university. S. McGovern noted that the goal of \$2m is big, but they are making good progress towards reaching it. S. McGovern responded to questions from the committee. She advised that approximately 20 students per year in the initiative is a good number.

## **8. Planning**

### **8.1 Student Success**

L. Livingston delivered a presentation on the university's student success initiatives. She clarified that student success is defined as a student entering into a program and obtaining an academic credential. L. Livingston reinforced that students are at the core of the university's mission. She explained the correlation between a student's incoming average and their chance of success. She also noted that as the number of student applications increase, so will the admission averages. L. Livingston highlighted the university's ranking in the province in terms of student retention and the need to push

ourselves to do better. Ensuring student success is everyone's business.

L. Livingston reviewed the following key student success initiatives that focus on first year students:

- transition pedagogy: better curriculum delivered by good teachers to prevent early and disappointed departure (Kitt, 2014);
- orientation week programming: differentiated for extroverts and introverts, acknowledge cultural differences (Chronicle of Higher Education, 2019); and
- enhancing advisor skillsets: consider identifying dedicated academic advisors for first year students (McFarlane, 2013).

There was a discussion regarding the factors that might contribute to low student attendance at orientation and ideas of how to improve student attendance. L. Livingston also discussed the development of the Ontario Tech Student Success Program (OTSSP). She highlighted the mental health advantages of the new OTSSP, which allows underperforming students to remain with their cohort and maintain the relationships they developed during their first year.

## **8.2 Board Retreat Planning**

S. Murphy reminded the committee that the retreat is scheduled for the evening of May 27 and morning of May 28. It was suggested that a deep dive into mental health should be one of the key topics. Many university students are at the age where mental health symptoms are first exhibited. The Board could learn about the university's approach to mental health. Other suggestions included an update on the five strategic pillars and the energy initiative. S. Murphy added that the energy initiative would likely be well into development and the time might be better spent on discussing mental health. It was also suggested to have a speaker at the dinner. The committee supported focusing the retreat on mental health.

## **9. Advancement**

### **9.1 Pi Day**

S. McGovern discussed this year's Pi Day events. The Chair encouraged committee members to participate in the events. S. McGovern added that if they are unable to participate in person, they could promote the events on social media.

## **10. Other Business**

## **11. Adjournment**

*There being no other business, upon a motion duly made by L. Cao, the meeting adjourned at 3:39 p.m.*

Becky Dinwoodie, Secretary

## COMMITTEE REPORT

---

**SESSION:**

Public  
Non-Public

☒  
☐**ACTION REQUESTED:**

Decision  
Discussion/Direction  
Information

☐  
☐  
☒

**TO:** Board of Governors

**DATE:** April 23, 2020

**FROM:** Audit & Finance Committee

**SUBJECT:** Compliance, Policy, and Risk Update

---

**COMMITTEE MANDATE:**

- The Audit and Finance Committee is responsible for overseeing risk management, and other internal systems and control functions at the university.
- This oversight includes receiving regular reports from management on areas of significant risk to the university including regulatory matters, as well as policy development and approvals at the university, in accordance with the Policy Framework.

**BACKGROUND/CONTEXT & RATIONALE:**

- The purpose of this report is to provide the Board with an update on the status of compliance, risk and policy development activity being undertaken by the Office of the University Secretary and General Counsel (USGC).

***Compliance Update***

- The USGC has completed the 2019 Controlled Goods Audit. Findings and recommendations have been presented to the President for approval. Initial drafts of a Controlled Goods Program Policy and Security Plan have been provided to the Vice-President, Research and Innovation for engagement in the stakeholder consultation process. Compliance has also engaged Procurement, IT Procurement, International and ORS to help collaborate and develop supporting procedures.
- The USGC is responsible for ensuring that the legislative requirements related to the *Accessibility for Ontarians with Disabilities Act* are met. To this end, the USGC is currently drafting Ontario Tech's AODA Multi-Year Plan 2020-2025. The multi-year plan will highlight the university's past accessibility achievements

and will outline commitments to remove barriers at the university from 2020-2025.

### ***Policy Update***

- The Secretariat continues to support and facilitate the approval of necessary policy changes on an expedited basis as the university community transitions to alternate service models due to the COVID-19 situation. Our goal is to ensure tracking of any policy changes in accordance with the Policy Framework.
- **Amendments to Grading Policy:** At its special meeting, March 27, Academic Council approved an amendment to allow students the flexibility to determine for themselves whether to either (a) accept their letter grade and have that letter grade appear on their transcript, or (b) have that letter grade converted to a "PAS". Students will have until May 6 to indicate their choice to the Registrar's Office through an online submission process. This nuanced approach will help students who need their grades for advanced placements or applications for further studies, while recognizing that their performance may have been affected by difficult circumstances.

### ***Privacy Update***

- The Secretariat is providing support to facilitate the use of remote working and learning tools in accordance with compliance obligations under Ontario privacy law.
- **Virtual Proctoring:** We undertook a legal and privacy review of the virtual proctoring software Respondus Monitor, and supported communication efforts to provide assurance to students, faculty and administration that the tool could be used without compromising student rights under FIPPA.
- **Video conference software:** We are currently in the midst of a review and assessment of the privacy and security of various video conference software in use at the university. Our approach is to identify the use cases that present the most risk, and determine which readily available tool can be used in a manner that mitigates that risk. These use cases include instruction, advising appointments and clinical use. We will support communication and education efforts to ensure that faculty and staff can make informed decisions about which tools to use.

### ***Risk Management Update***

Risk Management has been continuing to promote the URM during the COVID-19 pandemic, supporting the university members by formalizing a consistent, and coordinated approach to managing risk and risk related activities in an effort to reduce uncertainty.

- **Pandemic Plans:** The Pandemic Plans were disseminated to the unit owners to review and modify. The unit owners confirmed the adequacy of the operational plans and updated the following categories:
  - essential and critical operations;

- chain of command, and operational contact list;
- core functions;
- critical areas/equipment;
- inventory of resources.

The university finalized a set of twenty-five (25) plans. The plans were condensed and a master list of priority functions and service dependencies between unit plans were established. From these priorities, a set of seven (7) essential activities and services were identified. The complete set of 25 plans will roll up into the University Master Pandemic Plan.

Operational areas that fell outside of the confirmed essential services, adopted a telework methodology to continue operation. Operations were able to move to a remote platform due to the original communications and pre-emptive planning that took place during the completion of the plans. Pre-emptive planning consisted of asset recognition and needs analysis, such as VPN access, laptop, and network capabilities.

SLT is currently undertaking a review of leadership roles and responsibilities to develop contingency planning amongst the university's leadership.

- Emergency Management sub-group: A subgroup comprised of key members across the university was established to identify, develop, and implement tools, processes, and temporary measures critical to support the continued operation of the university. These processes and tools were established to enhance the existing Pandemic Plans and to create best practices, promoting a consistent and coordinated approach.

Health and Safety operational gaps were identified. Measures have now been implemented to support safe laboratory shut down, chemical inventory, laboratory start up, and ongoing research access. Health and safety will continue to be monitored as the situation evolves.

- Insurance: A thorough review of our insurance portfolio was completed to determine the potential coverage available, limitations, and exclusions due to the COVID-19 situation. As events continue to unfold, the insurance policies will remain under review in the event of a loss.
- Communication: Risk Management continues to monitor the post-secondary sector and maintain awareness on what other universities are undertaking during this situation. Daily updates related to the global impact of COVID-19 are provided to the senior leaders of the university, and university operational updates are facilitated semi-weekly. The emergency management sub-group meets weekly to discuss updates, actions, and deliverables.
- Supporting Community Initiatives: The university continues to look for opportunities to support the local community during the COVID-19 situation. Risk assessments are being completed on a case by case basis, identifying possible mitigation strategies and controls, related to initiatives such as donations, research, equipment loans, and student placement opportunities.

Risk Management continues to monitor the situation and support the university's ongoing operations. Tools, processes, and documents established during the COVID-19 situation will become part of the university's Master Pandemic Plan moving forward.



# New Building Project



## Monthly Project Update MARCH 2020

# New Building Update

## This Period Achievements (3 April 2020)

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



# New Building Update

Photo taken 31 March 2020



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



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



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



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

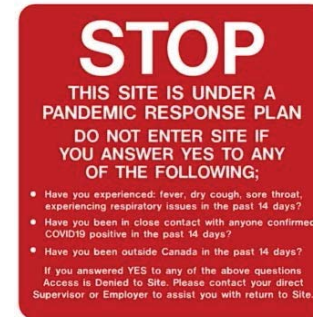
# New Building Update

Photo taken 3 April 2020





# COVID-19



- COVID-19 site preparedness and prevention plan implemented on site
- Field inspection protocol enforced on site
- Contractor notified potential delays due to pandemic
- Net Electric team isolate for 2 days until COVID-19 test result negative
- AGF rebar worker abstain for 2 days work until test result negative
- A5 expected to be impacted with the reduced productivity on site
- On April 3, Government directed to close non-essential construction effective April 4, 2020 for 14 days, with possibility to extent.

## Action items:

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

# Close out Process

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

# Risk Reporting

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

Project Name: A5 New Building						PROJECT RISK REGISTER						Updated:	2020 Mar 27		
Risk Description						Risk Analysis				Risk Response				Risk Monitoring	
Risk ID	Date Logged	Risk Status	Risk Event	Event Cause	Event Effect / Impact	Likelihood	Probability	Impact	Risk Score	Existing Controls / Mitigation	Responsible Parties	Completion Date	Status / Comments		
								<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>							

### **Site Safety:**

- Refer COVID-19 slide

### **Change Orders:**

- Nothing to report

### **Procurement Summary:**

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

### **Financial Summary:**

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

# A&F Roll up Financial Summary as of 3 April 2020

PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING			MARCH 2020				
Sources of Funds - Cash flow							
Description	Total Funding	Committed Todate	Actual YTD Mar 2020	Mar 2020	Required Funding till Completion	See Notes	
Ontario Tech			\$ -				\$ -
SIF			\$ -				\$ -
Advancement			\$ -				\$ -
Totals	\$ -	\$ -	\$ -	\$ -	\$ 48,000,000		
Uses of Funds - Cash flow							
Description	Total Budget	Committed Todate	Actual YTD Mar 2020	Mar 2020	Estimate at Completion		
GMP Contract	\$ 39,996,403	\$ 40,151,518	\$ 7,548,409	\$ 1,271,692	\$ 40,151,518	1	
FF&E	\$ 3,246,505	\$ -	\$ -	\$ -	\$ 3,246,505		
Soft Cost	\$ 1,940,732	\$ 1,548,959	\$ 956,502	\$ 19,623	\$ 1,802,735		
Portable Relocation	\$ 1,738,512	\$ 1,881,614	\$ 1,593,433	\$ -	\$ 2,345,676	2	
New Parking (50% sharing)	\$ 327,848	\$ 327,848	\$ 316,815	\$ (316,815)	\$ 316,815	3 **	
Contingencies	\$ 750,000	\$ 358,102.70	\$ 202,988	\$ -	\$ 136,751.66	4	
Totals	\$ 48,000,000	\$ 44,268,042	\$ 10,415,158	\$ 974,501	\$ 48,000,000		
Notes:							
1. Estimate at completion impacted by dewatering							
2. Increased by U5 changes and the 2021 forecast U5 demolition cost							
3. Construction cost for the F5 parking lot extension is equally shared with the College							
4. To date available amount from contingency (391K\$ was allocated for U5 removal)							
** DC was invoiced for the 50% share							

# ACE Enhancement Project



**Monthly Project Update**  
MARCH 2020





## Progress Update (3 April 2020) :

### Moving Ground Plane (MGP) Integration into CWT

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

# COVID-19

- ACE Facility was closed and operation paused from 25 March till 13 April
  - MGP Integration installation works put on hold
  - Fifth floor renovation works on hold
  - Acoustic material from Germany on hold
  - MGP existing belt assessment on hold
- 
- On April 3, the government is ordering all businesses not covered by the updated Emergency Order to close effective as of Saturday, April 4, 2020 for 14 days, with the possibility of an extension as the situation evolves.

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

With COVID-19 Project is anticipated to be further delayed.

Forecast completion will be assessed once a HOLD directive is removed.

## **Site Safety:**

- Nothing to report – no incident this period

## **Change Orders:**

- Nothing to report this period

## **Procurement Summary:**

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

## **Financial Summary:**

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

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

ACE ENHANCEMENT PROJECT		MARCH 2020			
Sources of Funds - Cash Flow					
Description	Total Funding	Actual Total Todate	Mar 2020	Estimate at Completion	See Notes
FEDDEV	\$ 9,465,000	\$ 7,676,936		\$ 9,465,000	
PROVINCIAL	\$ 1,500,000	\$ 1,350,000		\$ 1,500,000	
MAGNA	\$ 1,000,000	\$ -		\$ 1,000,000	
THE GREENBRIAR FOUNDATION	\$ -	\$ 50,000		\$ 50,000	<sup>1</sup>
ONTARIO TECH	\$ 500,000	\$ -		\$ 500,000	
Totals	\$ 12,465,000	\$ 9,076,936	\$ -	\$ 12,515,000	<sup>1</sup>
Uses of Funds - Cash Flow					
Description	Total Budget	Actual Total Todate	Mar 2020	Estimate at Completion	See Notes
Moving Ground Plane Integration into CWT	\$ 3,350,000	\$ 1,566,524	\$ 191,641	\$ 4,794,589	<sup>2</sup>
Aerodynamic Enhancements Required for MGP	\$ 2,540,000	\$ 950,910	\$ 255,400	\$ 2,142,138	<sup>2</sup>
Acoustics	\$ 845,000	\$ 664,417	\$ 84,148	\$ 827,341	<sup>2</sup>
Precision Measurement Capability	\$ 1,850,000	\$ 950,158	\$ 18,800	\$ 1,038,010	<sup>2</sup>
Chamber Modifications	\$ 630,000	\$ 343,606	\$ 53,549	\$ 605,118	<sup>2</sup>
Base Building Modifications	\$ 3,645,000	\$ 3,246,615	\$ 22,825	\$ 3,520,001	<sup>2</sup>
Engineering and Project Management	\$ 2,000,000	\$ 1,008,876	\$ 67,382	\$ 1,932,803	<sup>2</sup>
				\$ -	
Totals	\$ 14,860,000	\$ 8,731,105	\$ 693,746	\$ 14,860,000	
Notes:					
1. Unalloted Donations received from Donors					
2 Estimate at completion - reviewed and revised as of 2019 December project status					

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

## **AVIN Update**

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

1. Team Eagle (Campbellford, ON)- Runway to Roadways. This project was awarded funding just shy of \$900k from the AVIN Stream 2 funding program to move their Runway monitoring technologies to the roadway. The technology portfolio in this project consist of two key components. The first is the RCAM which is a high resolution camera backed by proprietary software used to characterize the runway surface conditions (cracks/potholes etc.) coupled with the level of contamination. Contamination primarily includes snow coverage, depth along with chemicals/rain that may be present in the form of puddles. The second technology is the BAT-Braking Availability Tester. This is a very high resolution surface friction measurement system that will deployed as a tow-behind on municipal vehicles as part of this project. The high level project concept is that the two technologies will provide municipalities with a clear picture of the road conditions year round which will help with their maintenance in the summer and snow removal in the winter. Key benefits are enhanced community safety, cost savings and reduced environmental impact (reducing over application of de-icers/salt). Team Eagle is a Northumberland based company that Ontario Tech has been working with for over 3 years.
2. eCAMION (Scarborough, On)- Operator Free Charging for Autonomous Transit Vehicles. This project was awarded \$775k from the AVIN Stream 2 funding program. This project is part of a strategic partnership we have established with eCAMION and Oshawa PUC to create a center of expertise around energy transfer within the Durham Region. The project itself is linked to demonstrating autonomous charging of autonomous transit vehicles but is part of almost \$3M of funding (NRCan, NRC-IRAP International, AVIN) that we've been working together on. It will build on our existing capabilities we've developed with eCAMION so far, including high temperature 150kW power transfer (charging) within ACE along with wireless charging project under discussion with Ontario Tech CRC Sheldon Williamson. This is our second AVIN Stream 2 project with eCAMION.

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



# Integrated Academic-Research Plan 2019-2021



# Vision, mission, and values

The University of Ontario Institute of Technology Act envisioned a new type of university, one that would focus on offering programs that were innovative and responsive to the individual needs of students and to the market-driven needs of employers. And over the past 18 years, Ontario Tech University has embraced this vision with its strategic commitment to being a change-maker and leader in technology-driven research and scholarship. As the institution nears the end of its second decade of operation, this commitment is stronger than ever. Our Vision, Mission and Values capture the essence of our potential.

## Vision

We advance the discovery and application of knowledge to accelerate economic growth, regional development and social innovation. We inspire our students and our graduates to make a positive impact in a tech-focused world.

## Mission

- Provide superior undergraduate and graduate technology-enriched programs that respond to the needs of our students and the evolving workplace.
- Conduct research that creates knowledge, solves problems, results in economic and social innovation, and engages our students.
- Facilitate lifelong learning that is flexible, inclusive and emphasizes college-university transfers.
- Develop academic and research collaborations with industry and community that stimulate and enhance the region and university at home and abroad.
- Cultivate a dynamic learning environment for students by promoting social engagement, fostering critical thinking, and integrating experiences inside and outside the classroom.

## Values

### Integrity and Respect

We embrace honesty, inclusivity and equity in all that we do.

### Accountability

Our actions reflect our values, and we are accountable for both.

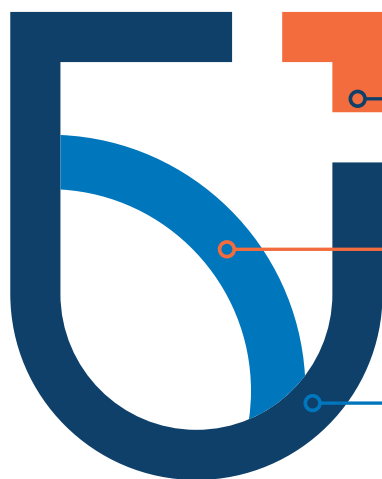
### Dedication to Quality and Intellectual Rigour

We strive for excellence with energy, commitment and passion.

### Pursuit of Innovation

We cultivate creativity, adaptability and flexibility in our students, faculty, and staff.





Always pointing towards  
a better future

Open to new emerging  
ideas and possibilities

A modern, forward-  
thinking University



# Our current context

Ontario Tech is a differentiated university where students, staff and faculty are immersed in a technology-enriched learning environment with a commitment to science, technology, engineering and math (STEM) and professional degree offerings, and an impressive and growing suite of innovative social science, humanities and arts programs. We are labour market-focused and we were established with a mandate to advance the highest quality of learning, teaching, research and professional practice, and a special mission ‘to provide career-oriented university programs...with a view to creating opportunities for college graduates to pursue a university degree.’ As stated in our Vision and Mission Ontario Tech ‘advances the discovery and application of knowledge that accelerates economic growth, regional development and social innovation.’

We embrace our role in stimulating and enhancing the economy and social fabric of the Durham Region, Northumberland County and the eastern Greater Toronto Area (GTA). We also work closely with university (e.g., Trent University, OCAD University, University of Toronto–Scarborough), college (e.g., Georgian, Fleming, Centennial, and Durham College), and community partners (e.g., City of Oshawa TeachingCity) to meet the aforementioned objectives while finding efficiencies, reducing duplication and creating innovative and future-facing opportunities in the province’s post-secondary education sector.

Importantly, Ontario Tech is a regional university that supports the needs of our growing and changing local populations, employers and communities. We are an access institution and, with our Oshawa locations, enhanced use of technology (e.g., online learning, open education resources (OERs), etc.), and flexible learning options (e.g., stackable credentials, micro certifications). We are committed to lowering the cost of post-secondary education while also promoting continuous lifelong learning and upskilling in the local workforce. We are educating people in our catchment area for the catchment area. Through our research (e.g., with an emphasis in energy, digital technology, intelligent manufacturing, environmental sustainability, clean technologies, autonomous vehicles, aerospace, computer science, life sciences, dementia care and much more), we are helping to re-shape the local and provincial economic landscape. Through our provision of employment, educational and infrastructure development opportunities, we are helping to revitalize the City of Oshawa’s downtown core while at the same time anchoring development and growth in the north end of the city. The social and intellectual capital invested by our faculty, staff and students is building resilience across Durham Region and Northumberland County and providing much-needed support to community organizations in their efforts to address poverty, crime, opioid addiction, and quality-of-life issues.







# Looking forward


In 2020 Ontario Tech finds itself immersed in an environment filled with tremendous opportunity and heightened expectations, but facing immense economic and technological disruptions. The world around us is in a constant state of flux and therefore evolving in new, exciting, previously unforeseen, and spontaneous directions. In this milieu, realizing our potential will depend upon our ability to value, celebrate and respect our collective strengths as well as our individual differences. Each and every member of our university community contributes in diverse ways to our successes and it is our differences that are our strength. Collectively rallying around shared priorities will be essential if we are to be successful in navigating the opportunities and challenges that lie ahead for post-secondary institutions provincially, nationally and globally.

Continued adherence to a traditional university model is not, and will not be, a viable option as the world around us continues to change. Global trends, including increased reliance on existing and emerging technologies, digitization and the demand for flexible education options, drive us to transform the way we deliver our core academic programs while also supplementing them with job readiness training opportunities. Now more than ever, we are also accountable to ensure that our graduates are employable and that the generation, analysis, retention, and meaningful translation of our data sets and research findings support the greater good of society. The most effective universities will be those with faculty and staff who reach beyond their walls to find opportunities to immerse and to encourage students to seek out opportunities for experiential learning and civic engagement within our communities. Universities have an important role to play in addressing societal challenges and problems in visible and meaningful ways. In times of crisis, we need to envision ourselves as community leaders committed to rising and supporting those in need.

In comparison to our provincial competitors, we are uniquely positioned to adapt to technological change because of our founding institutional commitment to STEM and our long-standing pledge to embed technology throughout our market-driven educational programs, our campus learning environments and our research. We must build upon our current research strengths in energy, manufacturing and digital technology while also growing our capacity in areas such as quantum computing and personalized health and medicine. Advances in technological innovation based on these research strengths are leading the way to a future unlike anything seen before with promises of greater productivity and enhanced quality of life. Ongoing technological innovation will afford our society the capacity to do almost anything, yet the more important questions may be ‘What should we do?’ and ‘How should we do it?’ not ‘What can we do?’ Asking these questions reflects our commitment to focusing on more than just the use of technology. Our commitment for both research and learning is on applications of technology with a conscience.

Technology also contributes to tremendous change in the way universities deliver educational programs. Post-secondary education is on the cusp of enormous change and at the forefront of that change is the demand for flexible and accessible education options. We will use virtual platforms and resources to expand our reach beyond our physical campus boundaries, which will break down geographical barriers and reduce the cost of earning a degree. We will also explore new options in program delivery including stackable credentials and micro certifications to meet the needs of existing and emerging workforces. This will require us to work closely with industry and employers to immerse our current students in work-integrated and experiential-learning opportunities, and, to define curriculum and identify the skillsets and competencies required for their successful transition into future careers. This is learning re-imagined.





The role of a university includes much more than simply the delivery of educational programs and the awarding of credentials. Universities need to envision themselves as community hubs—places where people come together to meet one another and engage in social and cultural activities that reflect community needs. We do this virtually and physically and our two locations, commonly referred to as our downtown and north locations, contribute to the economic and social cohesion of our community. Through our research and service commitments, our students, staff, faculty and alumni help to address significant societal challenges. We are actively committed to the concept of social accountability and to the creation of a sticky campus.

Universities also need to envision themselves as centres for research excellence and innovation. Ontario Tech has evolved since its early beginnings to be recently recognized as a rising star in terms of research output. The 2020 Maclean's magazine national rankings for research at primarily undergraduate universities list Ontario Tech as first in Social Science and Humanities Research Council grants and fourth in medical/science grants (i.e., based on average size and number) and second in citations as a measure of scholarly output. Importantly, our scholarship is high-quality, diverse in nature, and applicable on a local, national and global scale. Our ability and willingness to work effectively with industry, community, government and other academic partners underpins our success in this domain. We are also well aware that our future successes in research and innovation will be dependent upon maintaining and constantly seeking out new opportunities for successful partnerships.

This Integrated Academic-Research Plan is important because it keeps us collectively focused as we work to realize further successes for Ontario Tech. It also aligns our activities with our vision, mission, values, strategic priorities and resources. This is exceptionally important during periods of fiscal restraint such as the one that we are currently experiencing in the province. Decisions by the current provincial government, including last year's decision to freeze domestic tuition for the foreseeable future, combined with tying future grant funding to performance metrics have changed the fiscal environment for Ontario universities. This fiscal uncertainty is further complicated by the possible emergence of broader degree granting privileges by the province's colleges as well as a growing number of industry-based education and training programs. We are being asked to do more with less while facing increased competition and also being held to greater levels of accountability by government and society in general.

Disruption is all around and higher education is changing, yet opportunity abounds.

We are well-positioned compared to a number of other universities throughout Canada to build on our existing strengths and past accomplishments to be innovative leaders in the future of Canadian higher education. ***Let's lead the way by embracing this opportunity, while at the same time continuing to build an environment in which everyone can thrive by being collaborative, collegial and welcoming to all.***

# The process

Building on previous annual planning efforts—and the determination and successes of our past and present administrative leaders, faculty, staff, students and alumni—this plan intends to assist us in staying focused as we aspire to new levels of accomplishment and achievement in four key strategic areas: tech with a conscience, learning re-imagined, creating a sticky campus and partnerships. It also reflects on, and aligns, with our recently renewed Strategic Research Plan (Appendix A or [Link](#)).

This document aligns our key strategic areas with explicit commitments (or goals) and the actions required to achieve them. It is informed by our previous integrated plans as well as the multiple annual plans generated by our individual academic and administrative units over the past six months. It is important to note that this Integrated Academic-Research Plan differs from prior plans in that it is a short-term rolling plan, one which applies to a briefer time frame (i.e., from now to March, 2021) than in years past. This allows us to commit to doing ‘fewer things better’ and to be more action oriented. It also allows for the introduction of an annual review and evaluation cycle to determine the success of our actions, as well as the opportunity to adjust to changing resource realities. It is intentionally brief.

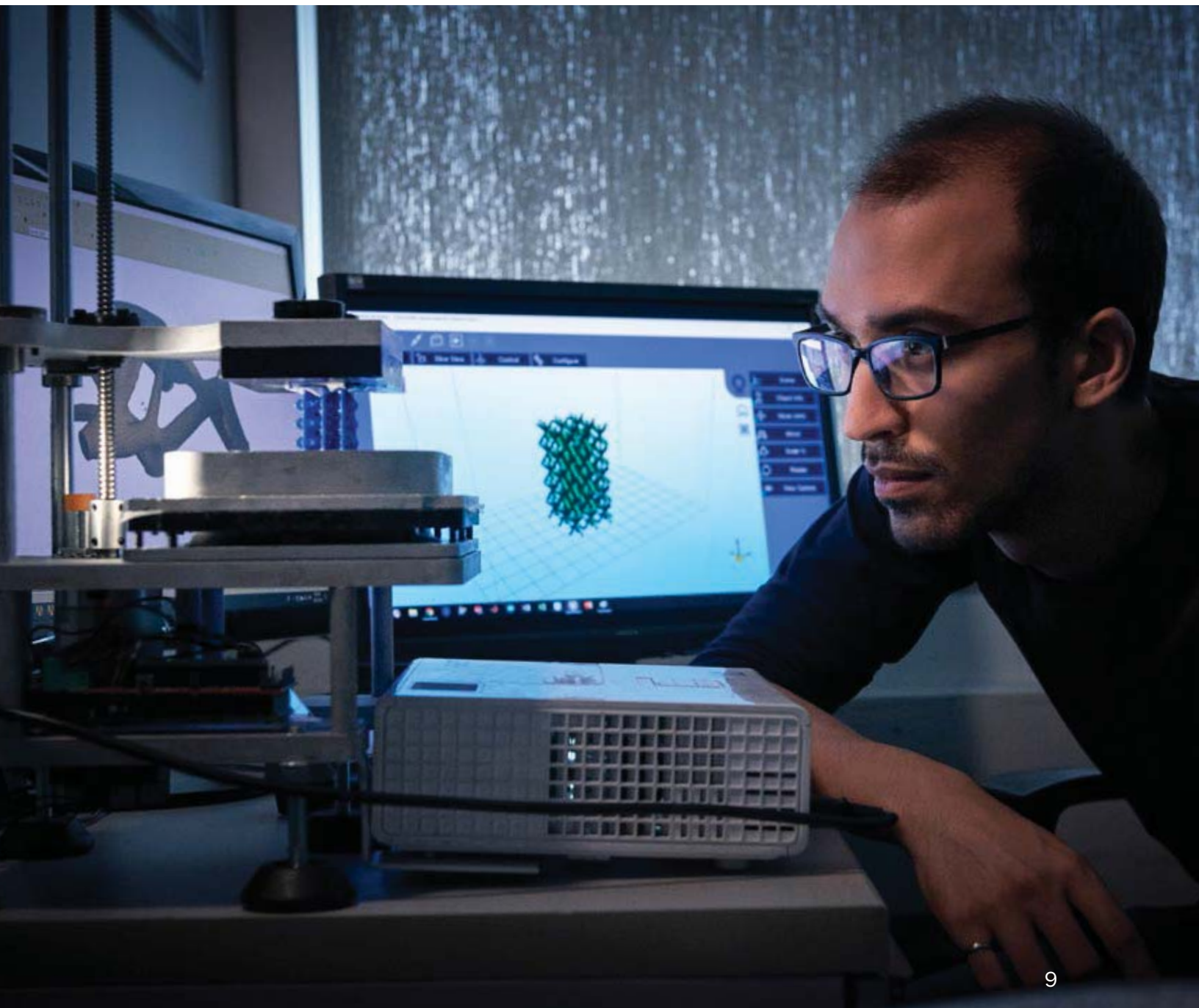
This year’s planning exercise began with visits to Faculty Councils by the Provost and Vice-President, Academic and the Vice-President, Research and Innovation to explain the planning process and to invite all Ontario Tech community members to engage in planning activities. Similar group meetings were also held with key leaders and members of administrative units.

Following the completion of individual unit plans, a daylong retreat with all academic and administrative unit leads was held to identify key points of intersection (or integration) between the various plans. Thereafter a summary of this document was drafted and used as the basis for university-wide town hall sessions in November 2019. The summary version will be available for external use. It complements the complete plan, which is intended for internal use only.

Before reading the remainder of this document it is important to note that even though these key strategies are sequentially presented, the commitments and anticipated outcomes associated with each are interconnected and therefore not mutually exclusive. Moreover, these strategies and the bulleted lists found therein are devoid of any order of priority and may not reflect the full diversity of activities happening within the university. This is because plans like this one are prone to expressing our common goals and objectives while inadvertently understating the tremendous contributions that each and every member of our university community makes on a daily basis. It is important to explicitly recognize this shortcoming while at the same time expressing our sincere hope that every member of the Ontario Tech community will see their day-to-day contributions somehow reflected within this document. We also hope to accomplish what we have outlined in this document so that we may continue to tell our story.

# The Integrated Academic-Research Plan

This plan, including our goals, objectives, commitments and actions, necessarily aligns with Ontario Tech's strategic priorities. In each section that follows, a brief statement on what we aim to accomplish, our commitments (or goals), and the actions we will employ to accomplish them is included. These are followed by a contextual narrative in which a limited number of examples are provided for illustrative purposes.



# Tech with a conscience:

## Innovation, impact and the social and ethical implications of technology

**We aim to improve the lives of humans and the planet through the ethical application of technology. It's a key component in our teaching and learning practices, administrative processes and innovative research projects.**

### **Our commitments**

- Establish new research institutes, centres and chairs.
- Be national leaders in the conversation pertaining to the future of energy in Canada.
- Intentionally differentiate ourselves as an institution committed to using technology in all that we do.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study and play. We will know if we are on track if by 2021 we have:**

- Launched new research institutes, centres and chairs, which examine the use, application, social and ethical implications, and impact of technology on everyday life.
- Built on existing strengths by establishing interdisciplinary research teams in select areas to create innovative and ethical technological solutions for the future.
- Established advisory boards or consortia to guide complex interdisciplinary conversations and community-based research initiatives pertaining to technology and its promise for the future, as well as its challenges.
- Successfully implemented a new Learning Management Platform (i.e., CANVAS™).
- Increased the quantity of online curricular and course offerings, and use of online educational resources (OERs) with a commitment to enhancing the quality of the same.
- Expanded faculty, staff and student usage of digital/virtual platforms.

# Context

Technology pervades virtually every aspect of our society and daily lives. Nowhere is this more apparent than within Ontario Tech, where our founding commitment to STEM continues to play a role in uniquely situating us as a technologically differentiated university within the province. We have nationally and internationally recognized researchers who generate knowledge and lead important interdisciplinary discussions with community stakeholders on a plethora of topics including technological innovation and the use of technology with a conscience. Importantly, while we have embraced our commitment to advancing technological innovation, we have also challenged ourselves to critically examine the positive and negative impacts of technology on our everyday lives.

Within the timeframe of this plan we are committed to the establishment of several new research institutes, centres, and chairs. These initiatives include the establishment of the Digital Life Institute and the UNESCO Research Chair in Hate Studies within the Faculty of Social Sciences and Humanities (FSSH) and a research Institute in Cyber Protection within the Faculty of Business and Information Technology (FBIT). The Library is also beginning to plan for a Digital Scholarship Centre to advance interdisciplinary collaboration and engagement with the use of digital tools amongst researchers, undergraduate and graduate students, postdoctoral fellows and faculty members.

Also high on our priority list is our commitment to establish an Energy Consortium to lead the national conversation about Canada's energy future. Ontario Tech's single largest thematic area of research expertise is in the area of energy and sustainability (i.e., clean and sustainable energy including human-powered transportation, as well as nuclear, geothermal, hydraulic, hydrogen, natural gas, solar and wind) and we are uniquely positioned to play a leadership role in creating regional and national energy policies rooted in scientific evidence.

The presence and use of technology in our teaching will continue to exponentially increase over time as we become increasingly reliant on digital and virtual platforms to support our daily operations. We must constantly challenge ourselves to 'up our game' so to speak, ensuring that we have robust systems in place to support what it is that we do. To this end, in 2020, we will transition to a new learning management system (i.e. CANVAS™), which provides for a higher level of functionality and integration between different learning technologies.



# Learning re-imagined:

## Learner-centred educational options

**We adapt to the ever-changing educational landscape by experimenting with the most effective ways to deliver flexible and dynamic learning, giving more choices to more people.**

### **Our commitments**

- Prepare students for careers, which contribute to individual, societal and global solutions and prosperity.
- Reinvent learning via continuous learning and technological solutions.
- Provide students with experiential learning and work-integrated learning opportunities, including entrepreneurial and research-intensive options domestically and globally.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2021 we have:**

- Increased job readiness offerings and enrolment in these offerings.
- Increased the number of graduate programs.
- Increased the number, quality, and diversity of undergraduate and graduate student engagements in experiential- and/or work-integrated learning and co-op opportunities via enhanced community-, industry-, and partner-sponsored options.
- Increased enrolment in Continuous Learning offerings.
- Leveraged existing technological assets to provide a greater number of degrees, courses and other for credit offerings (e.g., micro certification, badges) via online formats.
- Leveraged existing and emerging technological assets to elevate the integration and use of immersive-learning strategies within existing and new program offerings.
- Increased the production of open educational resources (OERs) amongst our full-time and part-time faculty and staff.
- Increased the usage of OERs in each of our faculties.
- Introduced new or revamped existing offerings to increase our collaborations with stakeholders, either within and between faculties, externally with university and college partners, or with local communities, municipalities and industry.

# Context

A continued adherence to a traditional university model is not, and will not be, a viable option as the world around us rapidly changes. Ontario Tech is evolving to meet the demands of this new place where we will all work and live. To this end, we are positioning ourselves to be responsive to the needs of our students, including preparing them for career success in a shifting work landscape. Importantly, ‘work’ will be more automated, data driven, collaborative, and mobile in nature. Continual upskilling or credentialing of the workforce—underpinned by a recognition of the need for briefer, more accessible modular educational units—will also be in demand as industries and businesses seek to train their employees on the job.

In response, we are expanding our commitment to work-integrated and experiential-learning opportunities for our undergraduate and graduate students. In May 2020 we will introduce our Open Educational Resource Lab (OER Lab), an initiative that will employ students to work with faculty and staff to develop and produce new OER products for use at Ontario Tech. In the process, students will acquire declarative knowledge and enhance their procedural skillsets through their work experience. The development of a new Minor in Social Enterprise, a combined effort involving FBIT and FSSH, is complemented by the introduction of new internship opportunities.

We are also committed to expanding our Continuous Learning and job readiness offerings and enrollments through existing and newly conceived initiatives. For example, the Faculty of Energy Systems and Nuclear Science (FESNS) is planning to expand its already existing Advanced Operations Overview for Managers (AOOM) course, while the Faculty of Health Sciences (FHSc) is taking a lead role in delivering the AGE-u-cate® Training Institute’s dementia training program throughout Ontario in 2020. In the long term, the goal is for Ontario Tech to deliver this much-needed dementia program nationwide.

Moving forward, it will be important for us to reconceptualize how we provide training to our students. Twelve-week courses will fade away as shorter duration stackable credentials or skill-oriented micro certifications gain favour with employers and students alike. Several micro certifications are currently in development and will be completed in 2020. Participants in a one-day simulation exercise involving nursing and medical laboratory professionals will earn a badge in interdisciplinary communication.

Importantly, our efforts in re-imagining learning also include the introduction of new degree programs, minors, and offerings, including the launch of Bachelor of Arts and Bachelor of Science degrees in Psychology and a new TESOL program offered by the Faculty of Education (FEEd). The Faculty of Science (FSc) and FHSc have worked closely on the development of an undergraduate degree in Integrated Neuroscience, and work related to the creation of a Minor in Indigenous Studies (FSSH) continues in collaboration with the Indigenous Education Advisory Circle (IEAC) and other academic stakeholders.

# Creating a sticky campus:

## A place to make lasting connections

**We promote positive social change and encourage an accessible, equitable, diverse and inclusive culture for our campus community.**

### **Our commitments**

- Create new campus spaces and experiences at our downtown and north locations.
- Broaden and diversify our university community demographics while at the same time celebrating and promotion equity, diversity and inclusion in all that we do.
- Expand our virtual campus assets.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2021 we have:**

- Completed construction and the move into a new multi-purpose building to support faculty, staff, student and community educational, research and service needs.
- Repurposed vacated spaces to support growing teaching, research and service needs, while at the same time creating new 'collision' and social spaces where innovative ideas may thrive.
- Established a new standard in food delivery with improved selection, choice, pricing, points of purchase and nutritional value to meet the needs of our diverse campus communities.
- Expanded our commitment to sustainability through waste reduction initiatives.
- Intentionally committed to the Truth and Reconciliation Commission's Calls to Action in support of Indigenous students and the local Indigenous communities.
- Increased the number of international students, scholars and visitors on our campuses.
- Welcomed greater participation from members of our local communities and region via age-specific programming and community-specific needs.
- Hired a Director of Equity, Diversity, and Inclusion.
- Embraced and gained, with intention, a better understanding of the diversity of our on-campus demographics through robust employee- and student-data collection methods.
- Introduced and implemented new orientation, mentorship and leadership programs for our faculty, staff and students.
- Committed to student success and retention via enhanced first-year experiences, greater investments in student advising and mental health supports, and cost reductions via OER and other digital delivery strategies.
- Implemented a culture-changing approach to conflict resolution.

# Context

A sticky campus is defined as “...a place where [people] choose to be rather than have to be.” At Ontario Tech, where a large proportion of our students, staff, and faculty commute to work, we experience significant ebbs and flows in the numbers of people that are on campus at any one time. This is sometimes seasonally dependent—we want to change this. It begins with having infrastructure and activities that will draw diverse groups of people in as well as also a positive and welcoming campus climate that will keep them here.

In terms of infrastructure, there is a lot happening. Under the auspices of our new highly visible and bold branding, the construction of a new multi-purpose building is underway at our north campus location. This building, which is due to be completed and ready for move in by July 2021, will become the new home of the Ontario Tech Student Union, the Office of Student Life, the Teaching and Learning Centre and the Faculty of Health Sciences, to name a few. It will also create new classroom and social spaces and its design will lend itself to the hosting of academic and professional conferences and other special events. In 2020, we will also introduce new bookstore operations and a new standard in food delivery (i.e., improved selection, choice, pricing, points of purchase, and nutritional value) to meet the needs of our community.

In terms of activities, we will build upon our past events to enhance our year-over-year efforts while at the same time expanding our offerings. We have specialized activities for our incoming students offered through the Office of Student Life and the School of Graduate and Postdoctoral Studies (SGPS) to assist our new students in transitioning to Ontario Tech and to thrive while they are here. Through the Teaching and Learning Centre, we also offer tailored programming for new incoming faculty members and staff, and support continuous improvement via Learning and Organizational Development offerings through our Human Resources department.

We attract numerous people to our campuses via a variety of events (e.g., Annual Powwow, Futures Forum, Women in STEM, Science Rendezvous, Ridgebacks Athletic events, Convocation and others), but we could be doing more. Ontario Tech’s recent designation as an internationally recognized Age-Friendly University is the latest opportunity for us to re-imagine ourselves as a community hub to enrich the lives of older adults and seniors who wish to venture onto our campuses.

The Ontario Tech community is also very diverse yet even with our best efforts, historical and systemic barriers and challenges may still exist. In 2020, we are committed to expanding the presence of international students on our campus. We will also hire and welcome our first Director of Equity, Diversity, and Inclusion (EDI). This individual will work closely with all stakeholder groups to create a framework, governance structures, and data collection methods to support an evidence-informed approach to addressing EDI issues. Importantly, we will remain intentionally committed to the Truth and Reconciliation Commission’s Calls to Action in support of Indigenous students and local Indigenous communities. We will also continue to support the LGBTQ2+ community via continued involvement in the Toronto Pride Parade and associated events, while ensuring our campus locations are welcoming and truly inclusive.

# Partnerships:

## Meaningful connections with our local and global communities

**We help industry, community, government and academic partners be more effective by bringing them together with students and researchers to uncover innovative solutions for our partners' most pressing problems.**

### **Our commitments**

- Strengthen existing, and cultivate new, industry, community and government relationships within the Durham Region, Northumberland County and the Greater Toronto Area (GTA).
- Strengthen and add to our existing academic partnerships—regionally, nationally and internationally.
- Broaden our impact and reach beyond the Durham Region and Northumberland County.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2021 we have:**

- Engaged a greater number of students in Brilliant Catalyst and Brilliant Solutions activities.
- Increased the number of faculty, staff and students in City of Oshawa's TeachingCity and Downtown Business Improvement Area (BIA) initiatives.
- Increased the number of faculty, staff and student engagements with other municipalities within the Durham Region, Northumberland County and beyond.
- Increased the number of students enrolled in collaborative programs offered between Ontario Tech and other universities and colleges.
- Established up to five new international partnerships (with at least one in the United States) with universities renowned for their technologically oriented research and academic programs.
- Increased the number of university-industry research chairs.
- Increased the number of pan-university partnership agreements with industry, community partners and collaborative international research teams.
- Experienced an increase in research granting success from non-Canadian and U.S. funding sources.
- Completed our first community engagement survey to benchmark our engagement within community.
- Set up a satellite research and partnerships office in the Greater Toronto Area (GTA).
- Improved our ability to manage and leverage intellectual property.

# Context

Ontario Tech's focus on STEM and technology-driven research and development provides opportunities for collaboration with corporate partners across various business sectors. This includes, but not limited to, the growing startup community in Durham Region and Northumberland County, small- to medium-size enterprises (e.g., in intelligent manufacturing) and large national and international firms. Our major partners include Emerson Climate Technologies, General Motors of Canada, Honda Motor Company, Infineum, Kubota Canada, L3 Wescam, Nike, Toyota Motor Company, Uber. With this in mind, the Faculty of Engineering and Applied Science (FEAS) and FESNS are particularly well positioned to strengthen and to expand upon their existing relationships, both within and beyond our local region.

Ontario Tech's Strategic Research Plan (Appendix A) provides the impetus for us to increase our efforts to secure grant funding from funding sources outside Canada, as well as the development of a wide range of new partnerships. Collectively such efforts should also effectively support the establishment of new university-industry research chairs and pan-university partnership agreements with industry, community partners and collaborative international research teams.

We also intend to move our efforts beyond our current geographical boundaries, to raise our profile, and to enhance our reputation nationally and internationally. To this end, we will explore and build academic partnerships with reputable academic institutions on an international scale (e.g., Africa, Asia-Pacific, Great Britain and Ireland) including a select few in the United States.

Key to our successes in this domain will be the integration of our students within a variety of industries. Employers are seeking talented graduates who are job ready. This includes not only the acquisition of a requisite degree or diploma, but the 'value added' skills (e.g., communication skills, critical and innovative thinking, empathy, etc.), which allow them to make immediate contributions in their new roles. We will use our Brilliant Catalyst and Brilliant Solutions programs, along with opportunities to engage students in the City of Oshawa's TeachingCity and Downtown Business Improvement Area (BIA) initiatives, to assist our students in developing these skillsets.

# Resources

Members of the Ontario Tech University community are annually invited to contribute to our planning exercises. Using a rolling plan approach, this Integrated Academic-Research Plan is supported by a complimentary Strategic Research Plan and annual budgeting and capital planning exercises. Together, these documents comprise an integrated university-wide planning approach that will support our efforts through 2021 and beyond.

# Conclusion

Ontario Tech continues to grow, expand and mature into the promise its founders envisioned when it was established in 2002. It is a technologically forward-looking institution characterized by innovation, entrepreneurship and its commitment to the betterment of society and the planet.

This plan builds on the university's ever-evolving position as a dynamic, conscientious and innovative technological leader in the province's higher education sector. We are young, yet with intention, our campus now more than ever welcomes faculty, staff, students, and the greater community to engage in strategic education and research initiatives with the aim of building a better and brighter future for all. Importantly, Ontario Tech is growing, expanding, and diversifying to include students, staff and faculty from around the world. Together, through an overt appreciation of our differences—products of our individual backgrounds, world views and choices—we aspire to achieve excellence in all that we do.

We're motivated to continue pursuing solutions to complex societal problems and value the opportunity to serve as a catalyst for improvement and change within our local and global communities. Within this planning cycle, we're confident that we'll realize our goals through hard work and the implementation of the commitments articulated herein.







# Contacts

**Ontario Tech University**  
2000 Simcoe Street North  
Oshawa, ON, Canada  
L1G 0C5

**Provost and Vice-President, Academic**  
905.721.8668 ext. 5467  
[provost@ontariotechu.ca](mailto:provost@ontariotechu.ca)

**Vice-President, Research and Innovation**  
905.721.8668 ext. 5420  
[vprii@ontariotechu.ca](mailto:vprii@ontariotechu.ca)

**Assistant Vice-President, Planning and Administration**  
905.721.8668 ext. 3149  
[planning@ontariotechu.ca](mailto:planning@ontariotechu.ca)

[ontariotechu.ca](https://ontariotechu.ca)



[ontariotechu.ca](https://ontariotechu.ca)

For an alternative format of this information, contact [marketing@ontariotechu.ca](mailto:marketing@ontariotechu.ca)

© University of Ontario Institute of Technology 2020. ONTARIO TECH UNIVERSITY and Design are trademarks of the University of Ontario Institute of Technology. D5095




**Integrated Academic-Research Plan**  
Summary / 2019-2021



Creating our  
**story, together**





Our university has an amazing story to tell—it's been created by the uniquely talented community of faculty, staff and students we have at Ontario Tech. It's a story that's still being created by all of us.

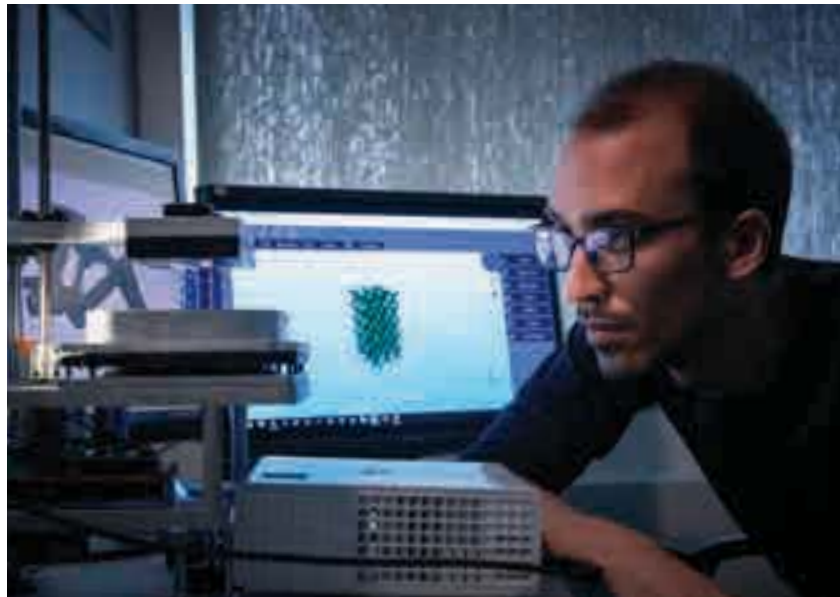
This Integrated Academic-Research Plan provides the arc of our story by aligning our vision, mission and values with the key priorities to guide our collective focus. Together, we're creating the story that we're proud to share with the world.



**Lori Livingston, PhD**  
Provost and Vice-President, Academic

# Vision

We advance the discovery and application of knowledge to accelerate economic growth, regional development and social innovation. We inspire our students and our graduates to make a positive impact in a tech-focused world.





# Mission

## We aim to:

- Provide superior undergraduate and graduate technology-enriched programs that respond to the needs of our students and the evolving workplace.
- Conduct research that creates knowledge, solves problems, results in economic and social innovation, and engages our students.
- Facilitate lifelong learning that is flexible, inclusive and emphasizes college-university transfers.
- Develop academic and research collaborations with industry and community that stimulate and enhance the region and university at home and abroad.
- Cultivate a dynamic learning environment for students by promoting social engagement, fostering critical thinking, and integrating experiences inside and outside the classroom.



# Values

## We value:

### **Integrity and Respect**

We embrace honesty, inclusivity and equity in all that we do.

### **Accountability**

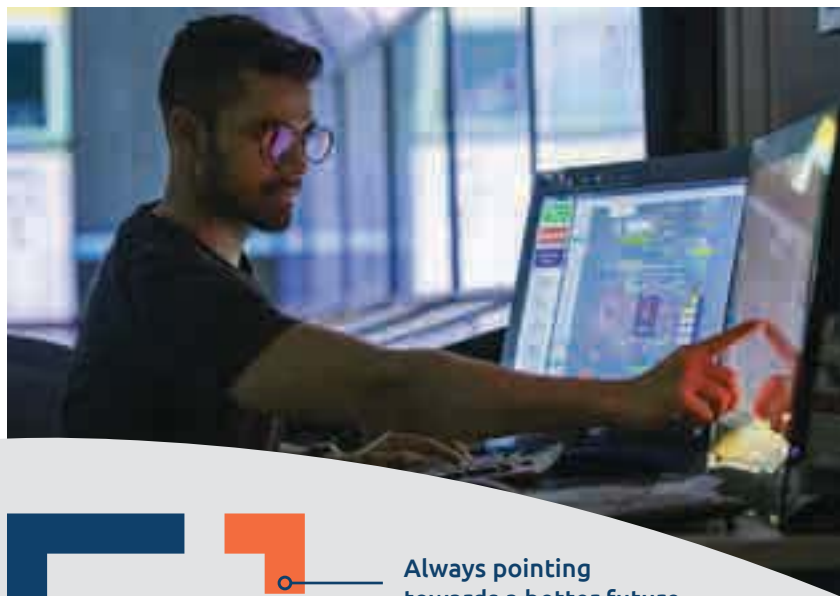
Our actions reflect our values, and we are accountable for both.

### **Dedication to Quality and Intellectual Rigour**

We strive for excellence with energy, commitment and passion.

### **Pursuit of Innovation**

We cultivate creativity, adaptability and flexibility in our students, faculty, and staff.



Always pointing  
towards a better future

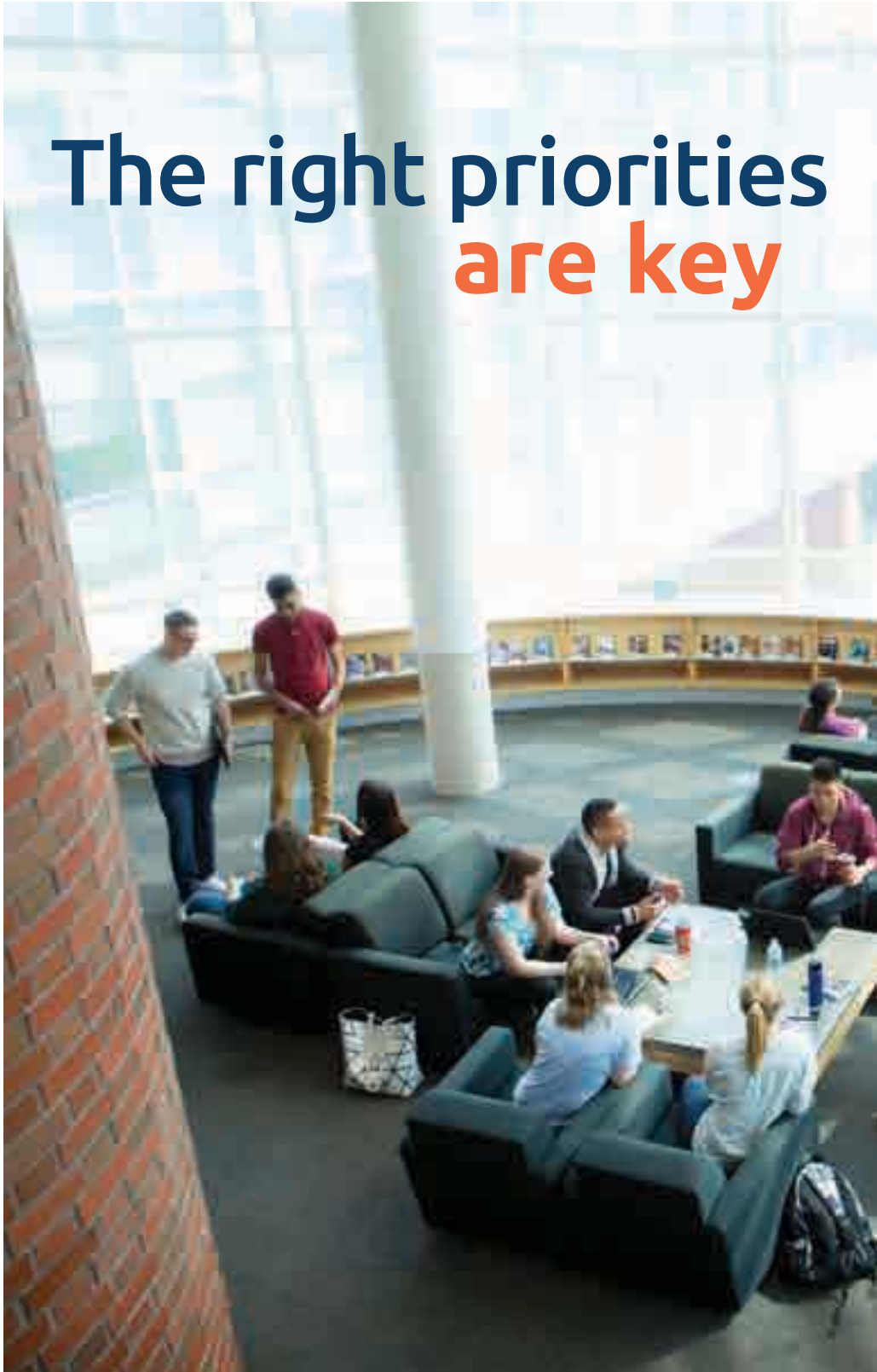
Open to new emerging  
ideas and possibilities


A modern, forward-  
thinking University





The right priorities  
are key





Our plan, including the goals, objectives, commitments and actions, aligns with our academic-research strategic priorities:

- Tech with a conscience
- Learning re-imagined
- Creating a sticky campus
- Partnerships

Along with our focus on telling our story, these priorities will advance the university to the next level.

# Tech with a conscience:

Innovation, impact and the social and ethical implications of technology



**We aim to improve the lives of humans and the planet through the ethical application of technology. It's a key component in our teaching and learning practices, administrative processes and innovative research projects.**

## **Our commitments**

- Establish new research institutes, centres and chairs.
- Be national leaders in the conversation pertaining to the future of energy in Canada.
- Intentionally differentiate ourselves as an institution committed to using technology in all that we do.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study and play.**

**We will know if we are on track if by 2021 we have:**

- Launched new research institutes, centres and chairs, which examine the use, application, social and ethical implications, and impact of technology on everyday life.
- Built on existing strengths by establishing interdisciplinary research teams in select areas to create innovative and ethical technological solutions for the future.
- Established advisory boards or consortia to guide complex interdisciplinary conversations and community-based research initiatives pertaining to technology and its promise for the future, as well as its challenges.
- Successfully implemented a new Learning Management Platform (i.e., CANVAS™).
- Increased the quantity of online curricular and course offerings, and use of online educational resources (OERs) with a commitment to enhancing the quality of the same.
- Expanded faculty, staff and student usage of digital/virtual platforms.

# Learning re-imagined:

Learner-centred educational options



**We adapt to the ever-changing educational landscape by experimenting with the most effective ways to deliver flexible and dynamic learning, giving more choices to more people.**

## **Our commitments**

- Prepare students for careers, which contribute to individual, societal and global solutions and prosperity
- Reinvent learning via continuous learning and technological solutions.
- Provide students with experiential learning and work-integrated learning opportunities, including entrepreneurial and research-intensive options domestically and globally.



**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play.**

**We will know if we are on track if by 2021 we have:**

- Increased the number, quality, and diversity of undergraduate and graduate student engagements in experiential- and/or work-integrated learning and co-op opportunities via enhanced community-, industry-, and partner-sponsored options.
- Increased enrolment in Continuous Learning offerings.
- Leveraged existing technological assets to provide a greater number of degrees, courses and other for credit offerings (e.g., micro certification, badges) via online formats.
- Leveraged existing and emerging technological assets to elevate the integration and use of immersive-learning strategies within existing and new program offerings.
- Increased the production of open educational resources (OERs) amongst our full-time and part-time faculty and staff.
- Increased the usage of OERs in each of our faculties.
- Introduced new or revamped existing offerings to increase our collaborations with stakeholders, either within and between faculties, externally with university and college partners, or with local communities, municipalities and industry.



# Creating a sticky campus:

A place to make lasting connections



**We promote positive social change and encourage an accessible, equitable, diverse and inclusive culture for our campus community.**

## **Our commitments**

- Create new campus spaces and experiences at our downtown and north locations.
- Broaden and diversify our university community demographics while at the same time celebrating and promotion equity, diversity and inclusion in all that we do.
- Expand our virtual campus assets.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play.**

**We will know if we are on track if by 2021 we have:**

- Completed construction and the move into a new multi-purpose building to support faculty, staff, student and community educational, research and service needs.
- Repurposed vacated spaces to support growing teaching, research and service needs, while at the same time creating new 'collision' and social spaces where innovative ideas may thrive.
- Established a new standard in food delivery with improved selection, choice, pricing, points of purchase and nutritional value to meet the needs of our diverse campus communities.
- Expanded our commitment to sustainability through waste reduction initiatives.
- Intentionally committed to the Truth and Reconciliation Commission's Calls to Action in support of Indigenous students and the local Indigenous communities.
- Increased the number of international students, scholars and visitors on our campuses.
- Welcomed greater participation from members of our local communities and region via age-specific programming and community-specific needs.
- Hired a Director of Equity, Diversity, and Inclusion.
- Embraced and gained, with intention, a better understanding of the diversity of our on-campus demographics through robust employee- and student-data collection methods.
- Introduced and implemented new orientation, mentorship and leadership programs for our faculty, staff and students.
- Committed to student success and retention via enhanced first-year experiences, greater investments in student advising and mental health supports, and cost reductions via OER and other digital delivery strategies.

## Partnerships:

Meaningful connections with our local and global communities



**We help industry, community, government and academic partners be more effective by bringing them together with students and researchers to uncover innovative solutions for our partners' most pressing problems.**

### **Our commitments**

- Strengthen existing, and cultivate new, industry, community and government relationships within the Durham Region, Northumberland County and the Greater Toronto Area (GTA).
- Strengthen and add to our existing academic partnerships—regionally, nationally and internationally.
- Broaden our impact and reach beyond the Durham Region and Northumberland County.

**Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play.**

**We will know if we are on track if by 2021 we have:**

- Engaged a greater number of students in Brilliant Catalyst and Brilliant Solutions activities.
- Increased the number of faculty, staff and students in City of Oshawa's TeachingCity and Downtown Business Improvement Area (BIA) initiatives.
- Increased the number of faculty, staff and student engagements with other municipalities within the Durham Region, Northumberland County and beyond.
- Increased the number of students enrolled in collaborative programs offered between Ontario Tech and other universities and colleges.
- Established up to five new international partnerships (with at least one in the United States) with universities renowned for their technologically oriented research and academic programs.
- Increased the number of university-industry research chairs.
- Increased the number of pan-university partnership agreements with industry, community partners and collaborative international research teams.
- Experienced an increase in research granting success from non-Canadian and U.S. funding sources.
- Completed our first community engagement survey to benchmark our engagement within community.
- Set up a satellite research and partnerships office in the Greater Toronto Area (GTA).

# Conclusion

Ontario Tech continues to grow, expand and mature into the promise its founders envisioned when it was established in 2002. It is a technologically forward-looking institution characterized by innovation, entrepreneurship and its commitment to the betterment of society and the planet.

This plan builds on the university's ever-evolving position as a dynamic, conscientious and innovative technological leader in the province's higher education sector. We are young, yet with intention, our campus now more than ever welcomes faculty, staff, students, and the greater community to engage in strategic education and research initiatives with the aim of building



# Resources

Members of the Ontario Tech University community are annually invited to contribute to our planning exercises. Using a rolling plan approach, this Integrated Academic-Research Plan is supported by a complimentary Strategic Research Plan and annual budgeting and capital planning exercises. Together, these documents comprise an integrated university-wide planning approach that will support our efforts through 2021 and beyond.



a better and brighter future for all. Importantly, Ontario Tech is growing, expanding, and diversifying to include students, staff and faculty from around the world. Together, through an overt appreciation of our differences—products of our individual backgrounds, world views and choices—we aspire to achieve excellence in all that we do.

We're motivated to continue pursuing solutions to complex societal problems and value the opportunity to serve as a catalyst for improvement and change within our local and global communities. Within this planning cycle, we're confident that we'll realize our goals through hard work and the implementation of the commitments articulated herein.



## Contacts

**Dr. Lori Livingston,**  
**Provost and Vice-President, Academic**  
[provost@ontariotechu.ca](mailto:provost@ontariotechu.ca)  
905.721.8668 ext. 5467

**Brad MacIsaac,**  
**Assistant Vice-President, Planning and Administration**  
[brad.macisaac@ontariotechu.ca](mailto:brad.macisaac@ontariotechu.ca)  
905.721.8668 ext. 3149



[ontariotechu.ca](https://ontariotechu.ca)

For an alternative format of this information, contact [marketing@ontariotechu.ca](mailto:marketing@ontariotechu.ca)

© University of Ontario Institute of Technology 2020. ONTARIO TECH UNIVERSITY and Design are trademarks of the University of Ontario Institute of Technology. D5095