

BOARD OF GOVERNORS' 113th REGULAR MEETING

AGENDA

Thursday, November 28, 2019
1:00 p.m. to 4:30 p.m.
55 Bond Street, DTB 524

No.		Topic	Lead	Allocated Time	Suggested Start Time
		PUBLIC SESSION			
1		Call to Order	Chair		
2		Agenda (M)	Chair		
3		Conflict of Interest Declaration	Chair		
4		Chair's Remarks	Chair	10	1:05 p.m.
5		President's Report	Steven Murphy	35	1:15 p.m.
	5.1	Strategic Mandate Agreement 3			
	5.2	Strategic Discussion: Durham & the Future of Energy			
6		Academic Council	Ferdinand Jones	5	1:50 p.m.
7		Co-Populous Report	Jim Wilson	5	1:55 p.m.
		Committee Reports			
8		Audit & Finance Committee (A&F) Report	Nigel Allen	25	2:00 p.m.
		Finance			
	8.1	Second Quarter Financial Reports* (U)			
	8.2	Budget Assumptions, Targets & Outcomes* (U)	Pamela Onsiong & Lori Livingston		
		Project Updates	Nigel Allen		
	8.3	ACE Enhancement Project* (M)			
		Risk, Compliance & Policy	Nigel Allen		
	8.4	Accessibility Policy* (M)			
	8.5	PCI Compliance*: (M) (a) Information Security Policy (b) PCI Sustainability Policy			
9		Investment Committee Report	Stephanie Chow	5	2:25 p.m.
	9.1	Quarterly Report			
10		Governance Nominations & Human Resources Committee (GNHR) Report	Francis Garwe	5	2:30 p.m.

No.		Topic	Lead	Allocated Time	Suggested Start Time
11		Strategy & Planning Committee (S&P) Report	Thorsten Koseck	5	2:35 p.m.
12		Consent Agenda: (M)	Chair	5	2:40 p.m.
	12.1	Steering Committee (formerly Curriculum & Program Review Committee) Terms of Reference*			
	12.2	Graduate Studies Committee Terms of Reference*			
	12.3	GNHR Terms of Reference*			
	12.4	S&P Terms of Reference*			
	12.5	Investment Terms of Reference*			
	12.6	Minutes of Public Session of Board Meeting of June 26, 2019*			
	12.7	Minutes of Public Session of A&F Meeting of June 10, 2019*			
	12.8	Minutes of Public Session of GNHR Meeting of May 16, 2019*			
	12.9	Minutes of Public Session of S&P Meeting of April 1, 2019*			
	12.10	Minutes of Public Session of Investment Meeting of August 22, 2019*			
13		Information Items (also available on the Board portal):	Chair	5	2:45 p.m.
		A&F			
	13.1	Compliance, Risk and Policy Update*			
	13.2	Freedom of Expression Annual Report*			
	13.3	HEQCO Freedom of Speech on Campus Report 2019*			
	13.4	New Building Project*			
	13.5	Campus Recreation & Wellness Centre Expansion*			
		GNHR			
	13.6	Policy Against Violence, Harassment and Discrimination in the Workplace 2018-2019 Review Report*			
	13.7	Board PD 2019-2020*			
		S&P			
	13.8	Strategic Risk Annual Report*			
14		Other Business	Chair		
15		Adjournment (M)	Chair		2:50 p.m.
		BREAK		15	

No.		Topic	Lead	Allocated Time	Suggested Start Time
		NON-PUBLIC SESSION (material not publicly available)			3:05 p.m.
16		Call to Order	Chair		
17		Conflict of Interest Declaration	Chair		
18		Chair's Remarks	Chair		
19		President's Report	Steven Murphy	20	3:10 p.m.
	19.1	2019-2020 Objectives* (D)			
	19.2	Tenure & Promotion* (M)			
	19.3	Updates: (a) Chancellor Search (b) Debenture			
		Committee Reports (confidential items only)			
20		A&F Report	Nigel Allen	5	3:30 p.m.
	20.1	Privileged & Confidential Legal Update*	Cheryl Foy	10	3:35 p.m.
21		Investment Report	Stephanie Chow	5	3:45 p.m.
22		GNHR Report	Francis Garwe	5	3:50 p.m.
	22.1	Board & Committee Leadership Succession* (U)			
23		S&P Report	Thorsten Koseck	5	3:55 p.m.
	23.1	Advancement Update* (U)			
24		Consent Agenda (M):	Chair	5	4:00 p.m.
	24.1	Appointment of Governor to Academic Council for 2019-2020*			
	24.2	Minutes of Non-Public Session of Board Meeting of June 26, 2019* (M)			
	24.3	Minutes of Non-Public Session of A&F Meeting of June 10, 2019*			
	24.4	Minutes of Non-Public Session of GNHR Meetings of May 16 and June 26, 2019*			
	24.5	Minutes of Non-Public Session of Investment Meeting of August 22, 2019*			
	24.6	Minutes of Non-Public Session of S&P Meeting of April 1, 2019*			
25		For Information:			
	25.1	Pension Plan Amendments*			
	25.2	Confidential Aspects of Strategic Risk Annual Report*			
	25.3	2019-2020 Committee Work Plans*			
26		Other Business	Chair		
27		<i>In Camera</i> Session	Chair	15	4:05 p.m.
28		Termination (M)	Chair		4:20 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.*

**Financial Update
Report to the Audit and Finance Committee
For 6 months ending September 30, 2019**

November 20, 2019

ONTARIO TECH UNIVERSITY

Financial Update – Report to Audit and Finance Committee – November 20, 2019

For 6 months ending September 30, 2019

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Consolidated Financial Statements of

ONTARIO TECH UNIVERSITY

For 6 months ending September 30, 2019

ONTARIO TECH UNIVERSITY
Consolidated Statement of Financial Position
As at September 30, 2019

	<u>Sep 30, 2019</u>	<u>Sep 30, 2018</u>	<u>YOY Variance</u>	<u>Mar 31, 2019</u>
ASSETS				
CURRENT				
Cash and cash equivalents	\$ 37,893,736	\$ 40,155,109	\$ (2,261,373)	\$ 45,236,989
Short-Term Investments	24,924,246	24,625,200	299,046	16,924,256
Grant receivable	8,332,211	7,612,022	720,190	8,669,628
Other accounts receivable	39,955,821	40,100,952	(145,131)	7,231,096
Prepaid expenses and deposits	2,521,412	1,706,848	814,564	2,166,750
Inventories	465,112	929,096	(463,984)	133,344
	114,092,538	115,129,227	(1,036,689)	80,362,063
INVESTMENTS	28,010,771	26,301,813	1,708,958	26,809,201
CAPITAL ASSETS	392,659,869	392,651,445	8,424	392,097,220
TOTAL ASSETS	\$ 534,763,179	\$ 534,082,486	\$ 680,693	\$ 499,268,484
LIABILITIES				
CURRENT AND LONG-TERM LIABILITIES				
Accounts payable and accrued liabilities	26,092,507	22,798,032	3,294,475	29,614,038
Deferred revenue	72,113,643	72,495,866	(382,223)	20,299,865
	98,206,150	95,293,898	2,912,252	49,913,903
LONG TERM DEBT	548,755	672,774	(124,019)	550,063
OBLIGATIONS UNDER CAPITAL LEASE	37,282,197	37,888,140	(605,943)	37,596,349
DEBENTURE DEBT	161,236,208	167,211,025	(5,974,816)	164,270,307
DEFERRED CAPITAL CONTRIBUTIONS	159,723,067	159,506,705	216,362	161,099,203
	456,996,378	460,572,542	(3,576,164)	413,429,825
Net Assets				
UNRESTRICTED		-	-	-
NET ASSETS, excluding current year surplus	63,995,371	57,128,164	6,867,207	57,128,164
ENDOWMENTS	22,500,614	21,197,256	1,303,358	21,843,288
CURRENT YEAR DEFICIT	(8,729,184)	(4,815,476)	(3,913,708)	6,867,207
	77,766,801	73,509,944	4,256,857	85,838,659
TOTAL LIABILITIES AND NET ASSETS	\$ 534,763,179	\$ 534,082,486	\$ 680,693	\$ 499,268,484

ONTARIO TECH UNIVERSITY
Consolidated Statement of Operations
For the quarter ended September 30, 2019

	<u>Sep 30, 2019</u>	<u>Sep 30, 2018</u>	<u>YOY Variance</u>
REVENUE			
Grants - operating & research	\$ 38,233,841	\$ 37,105,015	1,128,826
Grant - debenture	6,750,000	6,750,000	-
Donations - operating & research	395,712	535,537	(139,825)
Student tuition fees	26,491,193	26,339,869	151,324
Student ancillary fees	7,603,704	8,291,453	(687,749)
Revenue from purchased services	1,715,859	1,940,812	(224,953)
Other income	4,957,053	4,753,962	203,090
Amortization of deferred capital contributions	4,683,125	4,487,148	195,977
Interest revenue	532,994	410,004	122,990
Unrealized gain on investments	514,266	753,481	(239,215)
	91,877,747	91,367,281	510,465
EXPENSES			
Salaries and benefits	54,341,979	50,943,240	3,398,738
Student aid, financial assistance and awards	6,195,973	5,519,915	676,059
Supplies and expenses	14,217,890	13,964,768	253,123
Purchased Services	6,398,218	6,262,087	136,131
Professional fees	855,573	843,981	11,592
Interest expense - Long Term Debt	6,710,806	6,921,456	(210,650)
Interest expense - Other	78,255	76,649	1,606
Amortization of capital assets	11,766,565	11,572,178	194,387
Loss on disposal of assets	41,671	78,484	(36,813)
	100,606,931	96,182,758	4,424,173
Excess of expenses over revenues	\$ (8,729,184)	\$ (4,815,476)	\$ (3,913,708)

ONTARIO TECH UNIVERSITY
Consolidated Statement of Cash Flows
As at September 30, 2019

	<u>Sep 30, 2019</u>	<u>Sep 30, 2018</u>
NET (OUTFLOW)/INFLOW OF CASH RELATED TO THE FOLLOWING ACTIVITIES		
OPERATING		
Excess of expenses over revenues	(8,729,184)	(4,815,476)
Items not affecting cash:		
Amortization of capital assets	11,766,565	11,572,178
Amortization of deferred capital contributions	(4,683,125)	(4,487,148)
Unrealized gain on investments	(514,266)	(753,481)
Loss on disposal of assets	41,671	78,484
	<u>(2,118,340)</u>	<u>1,594,556</u>
Working Capital		
Grant and other accounts receivable	(32,387,308)	(32,007,875)
Prepaid expenses and deposits	(354,662)	(87,801)
Inventories	(331,768)	(687,463)
Accounts payable and accrued liabilities	(3,521,531)	(3,023,201)
Deferred revenue	51,813,778	52,916,219
	<u>13,100,169</u>	<u>18,704,436</u>
INVESTING		
Purchase of capital assets	(12,370,886)	(4,714,409)
Investments	(8,687,293)	(7,866,779)
Endowment contributions	657,326	156,828
	<u>(20,400,853)</u>	<u>(12,424,360)</u>
FINANCING		
Repayment of long term debt	(3,035,406)	(2,860,169)
Repayment of obligations under capital leases	(314,152)	(279,209)
Deferred capital contributions	3,306,989	1,444,950
	<u>(42,569)</u>	<u>(1,694,428)</u>
NET CASH (OUTFLOW) / INFLOW	(7,343,253)	4,585,649
CASH BALANCE, BEGINNING OF YEAR	45,236,989	35,569,460
CASH BALANCE, END OF PERIOD	\$ 37,893,736	\$ 40,155,109

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

CONSOLIDATED STATEMENT OF FINANCIAL POSITION**Assets**

Cash and short-term investments decrease of \$2.0m includes a decrease of \$4.5m mainly attributable to capital spending on the new building offset by \$2.5m increase in externally funded research funds.

Grant receivable balance of \$8.3m includes \$6.2m Collaborative Nursing (CN) grant funded on a slip-year basis (PY balance \$3.5m receivable in CY and CY balance \$2.7m receivable in next FY) and \$2.1m of external research grants, all of which are current.

Grant receivable increase of \$0.7m relates mostly to an increase in CN grant associated with YOY growth.

Other accounts receivable includes student and trade receivables. Balance of \$39.9m includes \$36.4m of student A/R (\$2.1m for spring 2019 and prior, \$4.3m for fall 2019 and \$30.0m for future winter 2020 semester for which payment is due Jan 2020), other current receivables comprising \$0.7m sales tax recoverable, \$0.6m trade receivables, \$0.5m ACE and other balances, none exceeding \$0.5m.

Prepaid Expenses and deposits increase of \$0.8m includes \$0.5 for Blackboard license (Learning Management System) for the year Oct 2019 – Sep 2020. This invoice was received after the reporting quarter in the prior year.

Investment balance of \$28.0m relates to endowed funds held at PH&N. The year-over-year increase of \$1.7m is comprised of new in-year donations \$1.3m, net investment income \$0.4m, M2M unrealized gain \$0.6m, offset by bursary disbursements \$0.6m.

Capital assets balance includes net additions of \$22.0m, offset by accumulated amortization of \$22.0m in the last 12 months.

Net additions comprise \$11.7m of construction-in-progress (Moving Ground Plane \$5.1m, new building \$5.3m, basketball change rooms \$1.3m), \$4.5m major equipment and FF&E, \$3.8m building and lab renovations and net \$2.0m computer equipment and laptops.

Liabilities

Accounts payable and accrued liabilities increased \$3.3m due to timing of recording and payment of invoices. This includes \$1.8m in trade payables including construction invoices, \$0.7m of student ancillary fees billed to students on behalf of third parties, and other immaterial variances.

Deferred Revenue relate to revenues deferred to subsequent periods as these have not yet been earned at the end of the reporting quarter or will be recognized as revenue in the period in which related expenses are incurred.

Balance of \$73.5m comprises \$54.2m deferred tuition representing 3 months of fall fees and all of winter term fees not earned at the end of the quarter, and \$19.2m of revenues billed or received and not yet spent at the end of the reporting quarter (\$7.7m of externally funded research revenues, \$6.4m of student ancillary fees, \$3.1m of expendable donations, and \$2.0m of miscellaneous deferred revenues).

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

CONSOLIDATED STATEMENT OF FINANCIAL POSITION (continued)

Decrease in deferred revenues of \$0.4m includes \$2.3m increase in deferred research of which \$1.3m include new external grants, \$0.5m increase in deferred ancillary fees of which \$1.1m relates to TELE fees due to lower laptop purchases as a result of all remaining students, except 1st year Engineering, going “BYOD” as of the start of the new academic year, offset by decrease in deferred capital investment in athletics.

These increases are offset by a \$3.2m net decrease in deferred tuition fee, attributable to \$5.0m decrease in domestic tuition as a result of the 10% cut in tuition fees, offset by an increase of \$1.8m in deferred international tuition due to YOY growth of 99 FTE.

Decrease in obligations under capital lease represents the principal lease repayments for 61 Charles and 55 Bond in the last 12 months.

Decrease in long-term debenture debt of \$6.0m relates to the principal repayment and resulting drawdown of the debt in the last 12 months. This debt is fully payable in October 2034.

Deferred capital contributions balance includes new capital grants and donations of \$9.7m received in the last 12 months, offset by \$9.5m amortization into revenues of capital grants and donations received since inception of the University.

New grants and donations received include \$5.8m grants for the Moving Ground Plane, \$1.8 for the AVIN project, \$1.8m grants for various capital projects, and \$0.3m donation received for SIRC.

CONSOLIDATED STATEMENT OF OPERATIONS

Revenue increased \$0.5m (1.0%) over the prior year. Significant variances include:

Operating grant increase of \$1.1m, of which \$0.6m pertains to external research grants and \$0.5m in other miscellaneous operating grants. There is no additional grant funding from the Province for domestic enrolment growth.

Student ancillary fee decrease of 0.7m includes a decrease of \$1.1m in TELE ancillary fees as a result of all remaining faculties, except 1st year Engineering, going BYOD coupled with relatively lower TELE revenue recognized due to decrease in laptop purchases. This decrease is offset by a net increase of \$0.6m in deferred revenue recognized in the current year for capital investment in athletics and other immaterial variances.

Expenses increased \$4.4m (4.4%) over the prior year. Significant variances include:

Salaries and benefits increase of \$3.4m includes \$2.2m for faculty and staff annual salary increases, \$0.8m for net new hires (8 faculty and 10 non-faculty) and promotions, and \$0.4m increase in limited term contracts for sessionals and student work study programs.

Student aid, financial assistance and awards increase of \$0.7m is mostly attributable to an increase in entrance scholarships as more students met the requirements for these scholarships for the current academic year.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019****II. FINANCIAL METRICS**

The Ministry has adopted 5 financial metrics to assist with assessing university financial health and sustainability.

The table below shows Ontario Tech University's forecast metrics for fiscal year 2019 - 20 and the actuals for the 2 fiscal years 2018 – 19 and 2017 - 18. Also included are the average comparator and average sector metrics for fiscal year 2017 - 18 (latest published data). The average comparator includes the data for what are considered as “small” universities based on student FTE (‘Full-time equivalents’), and includes seven universities: Algoma, Lakehead, Laurentian, Nipissing, OCADU, Trent and Ontario Tech University.

Financial Metrics	Forecast	Actual	Actual	Average comparator	Average sector
	2019 - 20	2018 - 19	2017 - 18	2017 - 18	2017 - 18
Net Income/Loss Ratio (1)	0.4%	3.3%	7.2%	1.8%	5.4%
Net Operating Revenues Ratio (2)	7.5%	11.6%	8.3%	2.6%	8.3%
Primary Reserve Ratio (days) (3)	35	62	53	31	115
Interest Burden Ratio (4)	7.0%	7.6%	8.2%	3.0%	2.2%
(b) IBR w MTCU funding	1.6%	1.7%	1.8%	n/a	n/a
Viability Ratio (5)	10.7%	17.9%	14.1%	15.1%	4204.6%

Financial Metrics Analysis

1. Net Income / Loss ratio - tracks the trend in the University's net earnings.

Based on the current projection of a net operating surplus \$1.0m (see Section III “2019-20 Operating Forecast Summary” on Pages 9 - 12), it is forecast that the University's net earnings ratio will be positive in the current fiscal year. This ratio is less favourable than in the prior years due to lower revenues as a result of a 10% cut in tuition fees and no additional funding for domestic growth from the Province, coupled with increased labour costs in the current year.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

II. FINANCIAL METRICS (continued)

2. Net Operating Revenues ratio – indicates the extent to which the University is generating positive cash flows in the long-run to be financially sustainable.

With stable revenues projected, the University continues to experience positive operating and working capital and, therefore, a stable net operating revenues ratio.

3. Primary Reserve ratio – indicates the University’s financial strength and flexibility by determining the number of days Ontario Tech University could function using its resources that are can be expended without restrictions.

Primary reserve ratio is less favourable than in the prior years due to a deterioration in the net expendable assets as a result of lower forecast operating net surplus attributable to the tension on the revenue v/s the expense side, coupled with the release of \$15.0m in internally restricted reserves for investment in the new building.

4. Interest Burden ratio (“IBR”) – indicates the University’s debt affordability and the cost of servicing debt

Ontario Tech University’s interest burden continues to improve as it pays back its long-term debt obligations without entering into any new debt. The cost of servicing its debt is above the comparator due to its relatively higher debt obligations.

4b. Interest Burden with MTCU funding ratio – the “IBR” has been re-stated to reflect an annual “institution-specific” grant of \$13.5m from the Ministry to fund the University’s debenture debt. Therefore, interest expense on the debenture has been removed from the total interest expense, used in the calculation of “IBR”.

Including the impact of the Ministry funding, the University’s interest burden ratio is more favourable than the average comparator and average sector ratios.

5. Viability ratio - determines Ontario Tech University’s financial health, as it indicates the funds on hand to settle its long-term obligations.

Although the University’s debt obligations are decreasing, the viability ratio is less favourable than in the prior years due to the deterioration in its net expendable assets.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019****II. FINANCIAL METRICS (continued)****(1) Net Income/Loss Ratio**

$$\frac{\text{Total Revenues less Total Expenses}}{\text{Total Revenues}}$$

Measures the percentage of revenues that contribute to net assets. The objective is to track trends in net earnings

(4) Interest Burden Ratio

$$\frac{\text{Interest Expense}}{\text{Total Expenses - Depreciation}}$$

Indicates debt affordability as it examines the percentage of total expenses used to cover the University's cost of servicing debt

(2) Net Operating Revenues Ratio

$$\frac{\text{Cash flow from Operating Activities}}{\text{Total Revenues}}$$

Indicates the extent to which the University is generating positive cash flow in the long-run to be financially sustainable.

(5) Viability Ratio

$$\frac{\text{Expendable Net Assets}}{\text{Long-Term Debt}}$$

Determines financial health as it indicates the funds on hand to settle its long-term obligations. Long-Term Debt is total external long-term debt, excluding the current portion of debt.

(3) Primary Reserve Ratio

$$\frac{\text{Expendable Net Assets}}{\text{Total Expenses}} \times 365 \text{ days}$$

Indicates the University's financial strength and flexibility by determining the number of days it can function using only its resources that can be expended without restrictions. Expendable net assets include: Unrestricted surplus (deficit), internally restricted net assets and endowments.

Ontario Tech University

III. Management Reporting - 2019 - 20 Operating Forecast Summary (in '000 s) For the year ending March 31, 2020

The table below shows the variance of the year-end forecast vs the approved budget

April 1, 2019 - March 31, 2020				
	Total Annual Budget	Y/E Forecast	Fav. (Unfav.) Budget vs. Forecast \$ / %	
Revenue				
Grants	81,084	80,693	(391)	0%
Tuition	79,944	79,226	(718)	-1%
Student Ancillary	11,709	13,435	1,725	15%
Other	18,072	18,915	843	5%
Total Revenue	\$ 190,810	\$ 192,268	\$ 1,458	1%
Expenditures				
Academic/ACRU	76,856	77,709	(853)	-1%
Academic Support	36,946	37,698	(752)	-2%
Administrative	33,576	30,314	3,262	10%
Sub-total	\$ 147,378	\$ 145,721	\$ 1,657	1%
Purchased Services	12,109	11,584	524	4%
Total Ancillary/Commercial	10,460	10,161	299	3%
Debt Interest Expense	10,541	10,157	385	4%
Total Expenses	\$ 180,488	\$ 177,624	\$ 2,865	2%
Operating Contribution	\$ 10,322	\$ 14,645	\$ 4,323	42%

Expenses disclosed on the Balance Sheet

Capital Expenses	3,717	7,010	(3,293)	-89%
Principal Repayments - debenture/leases	6,605	6,605	0	0%

Net Operating Surplus

\$ 0	\$ 1,030	\$ 1,030	N/A
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Other disclosure - Funded by Prior Year reserves

New Building	\$ 15,500	\$ (15,500)	N/A
Capital Campaign	\$ 1,189	\$ (1,189)	N/A

Reconciliation to Y/E forecast GAAP FS:

\$

Net forecast contribution from Operations 14,645

Items not budgeted:

Externally funded research revenues (donation, grant, other) 12,574
Externally funded research expenses (11,489)

Non-cash transactions:

Amortization of capital assets (23,434)
Amortization of deferred capital contributions 9,364
Unrealized gain on investments 500

Capital revenues a/c as Deferred Capital Contributions on the balance sheet (824)

Excess revenues over expenses - as per GAAP Financial Statements

\$ 1,336

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019****III. 2019 - 20 Operating Forecast Summary**

Based on the Sep Day 10 enrolment data, the operating budget, after capital expenses and principal debenture and lease repayments, shows a net operating surplus of \$1.0m at the end of the fiscal year.

The variances of the year-end forecast to the approved budget are explained below.

Enrolment

FTE's	2019 - 20 Approved Budget	2019 - 20 Sep Day 10	Variance to Approved Budget
Undergraduate			
Domestic	7,923	7,905	-18
International	488	476	-12
Graduate			
Domestic	414	465	51
International	189	177	-12
Total FTE's	9,014	9,023	9

Sep Day 10 enrolment count shows a net positive variance of 9 FTE against an original budget of 9,014 FTE. Current eligible undergraduate and graduate enrolment projection is within the + / - 3% of Ontario Tech University's corridor midpoint.

Domestic undergraduate and graduate increased net 39 FTE. International undergraduate and graduate decreased 24 FTE against the approved budget, and resulting in a total net decrease of \$0.3m in forecast tuition revenue.

Core Operating Grant remains flat as under the new funding formula implemented by the Ministry in 2017 -18, the funding for domestic students for the current year remains at the 2016 – 17 level.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

III. 2019 - 20 Operating Forecast Summary (continued)**Revenues**

Total revenues are \$1.5m favourable to budget. Significant variances include:

- 1) \$0.7m unfavourable variance in tuition, attributable to \$0.3m decrease in tuition revenues due to lower than forecast international enrolment, and \$0.4m decrease in ELC (English Learning Center) fees due to lower than anticipated summer students.
- 2) Student ancillary fees are \$1.7m favourable to budget and includes \$1.9m of prior year deferred revenues that will be recognized in the current year for the construction of the basketball change rooms (see offsetting “Capital Expenses” below) and other immaterial variances.
- 3) Other revenue are favourable to budget \$0.9m and include \$0.6m of higher than anticipated investment income, \$0.3m additional revenues from the AOOM (Advanced Operations Overview for Managers) program, offset by a decrease of \$0.5m in ACE revenues as a result of much lower than anticipated GM US utilization of the ACE facilities, and other immaterial variances.

The increase in AOOM revenues and decrease in ACE are offset by a related increase / decrease in expenses.

Expenses

Total operating expenses are favourable \$2.9m. Significant variances include:

Academic/ACRU units are showing a negative variance of \$0.9m as the budget included \$1.4m of faculty incentive savings that were not implemented, \$0.5m increase in faculty expenses (all of which are funded by additional revenues), offset by net \$1.0m labour savings from current open positions.

Academic Support units are \$0.7m unfavorable to budget and includes \$0.5m of entrance scholarships as a higher than expected students met the minimum requirements for these scholarships, and other immaterial variances.

Administrative units are showing a favourable variance to budget of \$3.3m. This includes \$2.5m release of planned building reserves, \$0.6m labour savings in Facilities, IT and ancillary services, \$0.3m in electricity savings and other immaterial variances.

Capital Expenses

Capital Expenses funded from Operations are unfavourable \$3.2m to budget, and includes \$1.9m of capital investments in the new basketball change rooms (funded by deferred revenues), and \$1.3m cost overrun in the Moving Ground Plane project in the current year.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

Summary

The operating contribution is \$4.3m favourable to budget. This is offset by a higher than expected capital investment of \$3.3m (of which \$1.9m is funded by prior year deferred revenues), for a net forecast operating surplus of \$1.0m. Consistent with the prior years, and at year-end, Management will make a recommendation to the Committee to restrict any actual surplus for student initiatives and future campus projects.

The forecast surplus on a GAAP (generally accepted accounting principle) basis, after adjusting for non-cash transactions and for items that are not included in the budget, is \$1.3m.

ONTARIO TECH UNIVERSITY**Financial Update – Report to Audit and Finance Committee – November 20, 2019****For 6 months ending September 30, 2019**

IV. CASH FLOW FORECAST

The University administration uses a cash management forecasting model to manage its operating cash balances and operating short-term investment portfolios.

University cash balances are cyclical in nature with higher operating balances in September – November and January - March due to tuition fee collection from the fall and winter semester registration, and lower balances in December and during the early summer months.

The University has the following credit facilities:

- A revolving operating LOC of up to \$17.0m, bearing interest at prime plus 0.25% with a Canadian chartered bank.

Cash Flow Update

- The University has not utilized its available line of credit as at the end of the reporting quarter.
- The University currently holds \$24.9m of its operating cash surplus in short-term investments, of which \$10.0m are invested in 6-month GIC's with the remaining \$14.9m in 30-day cashable GIC's.
- **Operating cash balance**, including short-term investments of \$24.9m, is projected at **\$37.6m** at the end of the fiscal year.
- **Externally and internally restricted cash balances** (including Research, Advancement, Campus Childcare, Regent Theatre, and ACE) is projected at **\$12.7m** at the end of the fiscal year.

ONTARIO TECH UNIVERSITY

Cash Flow Forecast Summary for the year ended March 31, 2020

		Actual		Forecast						Total Forecast
		Apr - Jun 2019	Jul - Sep 2019	Oct 2019	Nov 2019	Dec 2019	Jan 2020	Feb 2020	Mar 2020	FY 2019 - 20
		\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s
Operating Beginning Cash Balance	A	31,599	18,399	30,104	21,057	12,250	5,007	23,443	16,682	31,599
Total Operating Inflows	B	37,889	66,080	16,210	8,339	9,685	36,557	8,451	12,335	195,546
Total Operating Outflows	C	(49,752)	(50,305)	(23,894)	(15,425)	(15,222)	(16,505)	(13,592)	(14,713)	(199,408)
Net Operating Cash Flows	D=B+C	(11,863)	15,775	(7,684)	(7,086)	(5,537)	20,052	(5,141)	(2,378)	(3,862)
Total Operating Cash Available	E=A+D	19,736	34,174	22,420	13,971	6,713	25,059	18,302	14,304	27,737
New Building Outflows	F	(1,337)	(4,070)	(1,363)	(1,721)	(1,706)	(1,616)	(1,620)	(1,631)	(15,064)
Operating Ending Cash Balance after New Building	H=E+F+G	18,399	30,104	21,057	12,250	5,007	23,443	16,682	12,673	12,673
Total Internally and Externally Restricted Cash	I	14,957	14,450	14,486	14,309	14,709	15,581	15,451	12,700	12,700
Total Consolidated Cash Position	J=H+I	33,356	44,554	35,543	26,559	19,716	39,024	32,133	25,373	25,373

Total Cash Forecast as at MAR 31, 2020

Total Operating Cash after new building	12,673
Add: Short-term investments in GIC's	24,924
Total Operating Cash and ST investments	<u>\$ 37,597</u>
Total Restricted Cash	<u>\$ 12,700</u>

Board of Governors Budget and Planning Update November 28, 2019



Pamela Onsiong
Acting CFO

Lori Livingston
Provost

Brad MacIsaac
AVP Planning

2019-20 – Strategic Reductions

Agenda Item 8.2

in 000's	2019-20 variable budget expenses	Budget Reductions		Total Reduction %	
Dept	Total	19/20	20/21	19/20	20/21
Faculty of ESNS	4,126	(161)	(242)	(3.9%)	(5.9%)
Faculty of Business and IT	13,200	(447)	(389)	(3.4%)	(2.9%)
Fac. of Social Science & Hum	10,636	(392)	(579)	(3.7%)	(5.4%)
Faculty of Education	4,992	(163)	(236)	(3.3%)	(4.7%)
Faculty of Health Sciences	13,696	(351)	(408)	(2.6%)	(3.0%)
Faculty of EAS	14,318	(459)	(699)	(3.2%)	(4.9%)
Faculty of Science	13,001	(334)	(501)	(2.6%)	(3.9%)
Graduate Studies	1,919	(73)	(73)	(3.8%)	(3.8%)
Outsourced Electives	490	(198)	(350)	(40.4%)	(71.4%)
Total Academic/ACRU	76,377	(2,578)	(3,478)	(3.4%)	(4.6%)
Office of the Provost	665	(54)	(54)	(8.1%)	(8.1%)
Planning and Analysis	4,236	(734)	(698)	(17.3%)	(16.5%)
Research, Innovation	2,250	(73)	(124)	(3.3%)	(5.5%)
Registrar	6,754	(287)	(396)	(4.2%)	(5.9%)
Tuition Set Aside	-	-	-		
Student Life	1,886	(202)	(138)	(6.7%)	(5.2%)
Library	4,538	(160)	(276)	(3.5%)	(6.1%)
IT - TELE	-	-	-		
Total Academic Support	20,330	(1,510)	(1,685)	(7.4%)	(8.3%)
Secretariat/ General Counsel	1,697	(94)	(94)	(5.5%)	(5.5%)
President	964	(77)	(77)	(8.0%)	(8.0%)
Finance	3,314	(121)	(166)	(3.7%)	(5.0%)
Central Operations	3	-	-		
OCIS/Leased Space	6,767	(241)	(338)	(3.6%)	(5.0%)
IT (excluding TELE)	3,422	(70)	(58)	(2.1%)	(1.7%)
External Relations	4,696	(231)	(231)	(4.9%)	(4.9%)
Human Resources	2,560	(96)	(71)	(3.7%)	(2.8%)
Total Administrative	23,424	(931)	(1,036)	(4.0%)	(4.4%)
Total Purchased Services	14,890	(595)	(596)	(4.0%)	(4.0%)
ACE - Non-Commercial	493	(26)	(41)	(5.2%)	(8.2%)
Total Ancillary/Comm Exp	493	(26)	(41)	(5.2%)	(8.2%)
Total base variable budget	135,513	(5,640)	(6,834)	(4.2%)	(5.0%)

2020-21 Budget Assumptions Agenda Item 8.2

- Enrolment levels – limited growth based on population increase
 - 35.6% grant; 42.0% tuition; 6.0% ancillary

	2017-18	2018-2019	e2019-2020	e2020-2021
Domestic Intake	2315	2462	2461	2631
International Intake	99	152	135	240
Undergraduate - FFTEs				
Domestic Total	7936	7920	7905	7732
International Total	435	407	476	601
Graduate - FTEs				
Domestic (Incl. deregulated)	413	430	465	410
International	143	148	177	214
Total - FTEs	8927	8905	9023	8956

- Domestic Tuition Freeze/ Propose increase yr 1 International 10%

	2019-2020	2019-20 System Average	2019-20 System Median
BCom	\$23,224	\$32,156	\$28,362
BEng, BEng & Mgmt	\$27,307	\$35,638	\$34,384
BSc, Computer Science	\$22,187	\$29,169	\$27,242

- Grant funding from the Province set at 2016/17 levels

	2020-21	2021-22	2022-23	2023-24	2024-25
Notional Allocation	\$ 12,9	\$ 19,1	\$ 25,2	\$ 31,4	\$ 34,5

- Compensation increases and other fixed cost estimates as forecast

Budget Rollover 2020-21

TOTAL REVENUES	193,019,317
TOTAL BASE EXPENSES	(189,859,697)
BUDGET SURPLUS BEFORE ASKS	\$ 3,159,620
OTO Asks	
Capital - OCIS	(2,376,000)
Capital - IT	(1,600,000)
Building reserves & deferred maintenance	(2,500,000)
Operational reserves	(1,000,000)
Food Services investment	(250,000)
Bookstore Investment	(205,000)
University priority fund	(1,000,000)
Estimated salary savings	1,000,000
BUDGET DEFICIT AFTER ASKS	\$ (4,771,380)

Discussion – Budget Process

BUDGET DEFICIT AFTER ASKS

\$	(4,771,380)
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POTENTIAL REDUCTIONS

Travel and PD cuts - 50% of \$1.0m	\$	500,000
Potential shared services savings		100,000
Reduce capital projects		500,000
Reduce university priority fund		400,000
Delay hire of open positions		750,000
Increase revenues (CL, ancillary)		200,000
Other ?		

NET DEFICIT

\$	(2,321,380)
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ACE Enhancement Project

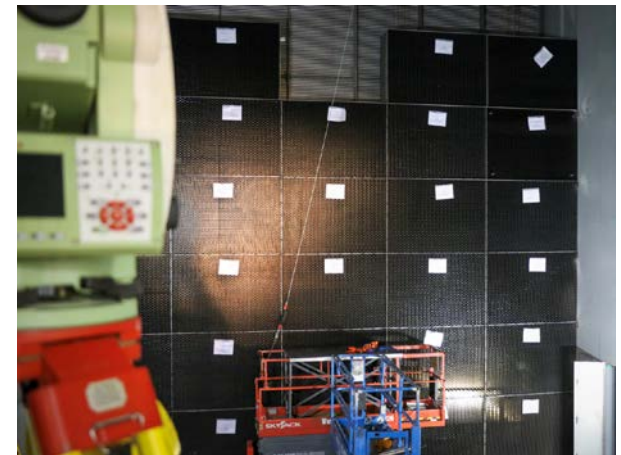
OCTOBER 2019 Monthly Report



Progress Update (30 October 2019) :

Moving Ground Plane (MGP) Integration into CWT

- Engineering ongoing with MGP model for CWT integration
- MGP outside platform being modified in Port Colborne JTL Fabrication yard
- MGP software control engineering progressing
- Aerodynamics honeycomb flow straighteners installation – completed
- Boundary layer removal system engineering on going
- Acoustic treatment engineering in progress
- Transfer door at 1st floor engineering in progress
- Air compressors manufacturing on going (~anticipated delivery 2019 December)
- Cooling system engineering and RFP underway



Progress Update (30 October 2019) :

ACE Building Modification – Client Offices

- 5th floor renovation schematic design completed
- 5th floor renovation detail design development in progress

Project schedule tracking:

- Building Extension – completed
- Equipment Integration – 30 September 2020

Site Safety:

- Nothing to report – no incident on site this period

Change Orders:

- Nothing to report this period

Procurement Summary:

- Nothing to report this period

Financial Summary:

- No Funding received this period
- Total Funding received to date \$6.3M
- Actual Cash Flow expense to date \$5.5M
- Committed Funding to date \$12.49M
- 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 31 October 2019

Agenda Item 8.3

ACE ENHANCEMENT PROJECT		OCTOBER 2019			
Sources of Funds - Cash Flow					
Description	Total Funding	Actual YTD Oct 2019	Oct 2019	Estimate at Completion	See Notes
FEDDEV	\$ 9,465,000	\$ 4,928,587	\$ -	\$ 9,465,000	
PROVINCIAL	\$ 1,500,000	\$ 1,350,000	\$ -	\$ 1,500,000	
MAGNA	\$ 1,000,000	\$ -	\$ -	\$ 1,000,000	
THE GREENBRIAR FOUNDATION	\$ -	\$ 25,000	\$ -	\$ 25,000	¹
ONTARIO TECH	\$ 500,000	\$ -	\$ -	\$ 500,000	
Totals	\$ 12,465,000	\$ 6,303,587	\$ -	\$ 12,490,000	¹
Uses of Funds - Cash Flow					
Description	Total Budget	Actual YTD Oct 2019	Oct 2019	Estimate at Completion	See Notes
Moving Ground Plane Integration into CWT	\$ 3,350,000	\$ 526,267	\$ (12,009)	\$ 3,350,000	
Aerodynamic Enhancements Required for MGP	\$ 2,540,000	\$ 266,386	\$ 13,239	\$ 2,540,000	
Acoustics	\$ 845,000	\$ 183,170	\$ (4,028)	\$ 845,000	
Precision Measurement Capability	\$ 1,850,000	\$ 467,002	\$ 58,051	\$ 1,850,000	
Chamber Modifications	\$ 630,000	\$ 175,069	\$ -	\$ 630,000	
Base Building Modifications	\$ 3,645,000	\$ 2,961,119	\$ 46,989	\$ 3,461,039	²
CO#1 Unforeseen Site Condition	\$ -	\$ 44,769		\$ 44,769	²
CO#2 Exhaust Louver	\$ -	\$ 1,536		\$ 1,536	³
CO#3 M&E System Issue	\$ -	\$ 3,937		\$ 3,937	²
CO#4 Ground water seepage	\$ -	\$ 35,203		\$ 35,203	²
CO#5 Modify existing door/electrical	\$ -	\$ 3,525		\$ 3,525	²
CO#6 Sanitary system, backfill, power	\$ -	\$ 88,998	\$ 48,892	\$ 88,998	²
CO#7 Mechanical Coordination	\$ -	\$ 4,129	\$ 4,129	\$ 4,129	²
CO#8 Cash Allowance reconciliation		\$ 3,401	\$ 3,401	\$ 3,401	²
Engineering and Project Management	\$ 2,000,000	\$ 755,505	\$ 40,988	\$ 2,000,000	
CO#1 BBA Credit for Exhaust Louver		\$ (1,551)		\$ (1,551)	³
				\$ -	
Totals	\$ 14,860,000	\$ 5,518,464	\$ 199,650	\$ 14,859,984	⁴

Notes:

1. Unallotted Donations received from Donors

2. Change Orders cost taken from within the Building modification budget

3. Cost offset for scope addition which was not clear in specs

4. Cost variance (\$16) due to notes 3

BOARD REPORT

SESSION:

Public
Non-Public

☒
☐

ACTION REQUESTED:

Decision
Consultation
Information

☒
☐
☐

TO: Board of Governors

DATE: November 28, 2019

FROM: Audit and Finance Committee (A&F)

SUBJECT: Accessibility Policy

BOARD OF GOVERNORS 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 approval authority for the related procedures.
- We are submitting the revised policy instrument to Board of Governors to request Board approval of the updated document.

BACKGROUND/CONTEXT & RATIONALE:

- The directorate, who enforces *Accessibility for Ontarians with Disabilities Act* (AODA) accessibility compliance requirements, requires organizations to submit accessibility compliance reports. The report is a self-assessment of the organizations' status with all provincial accessibility requirements.
- AODA requirements came into force on January 1, 2010 with a staggered implementation since that time, requiring policies, procedures, processes and plans.
- The Office of University Secretary and General Counsel (USGC) is currently working towards completing the 2019 AODA Compliance Report that is due on or before December 31, 2019. The last report having been filed in December 2017.
- As part of this requirement, USGC and Student Accessibility Services are revising the Accessibility Policy and the Procedures for Accommodating Students with Disabilities, respectively. While HR has developed a new procedure to provide accommodations for employees with disabilities at the University.
- Notable changes include: a new and robust feedback process that allows Ontario Tech to receive and respond to feedback about our accessibility program

in a variety of ways. The Feedback Accessibility Form which will be available on the OntarioTech website. Employees and Students can use this accessible form to submit feedback/comments on any accessibility related matters. All feedback/comments will be submitted to aoda@ontariotechu.ca to the Office of the University Secretary and General Counsel. Our office will also accept feedback in person, by phone and by mail. Our office will be responsible for tracking all feedback received through this channel for reporting purposes, directing any issues to the respective departments, documenting resulting actions, and monitoring their progress to ensure future compliance.

- A cross-functional Accessibility Working Group will be re-established with members from the university community. The Accessibility Working Group's mandate will be to steer accessibility policy, procedures and training through the review of best practices, university feedback and alignment with the university's overall strategic initiatives.

CONSULTATION PROCESS:

- Online Consultation, October 8 to 28, 2019
- Policy Advisory Committee, October 15, 2019
- Administrative Leadership Team, October 16, 2019 – in person consultation
- Audit & Finance Committee, November 20, 2019 – recommendation of policy & approval of procedures
- Board of Governors, November 28, 2019 – approval of policy

The associated procedures for accommodating students and employees with disabilities were approved by Audit and Finance Committee on November 20, 2019.

Comments received and response:

- Ensuring Definitions section is updated to reflect the terms defined in associated legislation (i.e. "Disability")
- Define "essential requirements" and "essential competencies"
- Policy Owner changed to University Secretary and General Counsel (USGC) office.
- Under Policy Section, added information relating to feedback process receiving and responding to comments/feedback relating to accessibility matters.

IMPLICATIONS:

- In order to demonstrate the University's compliance with AODA and its regulation, the University's Accessibility policies and procedures have been reviewed and revised.

COMPLIANCE WITH POLICY/LEGISLATION:

- *Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005*
- *Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F.31*
- *Human Rights Code, R.S.O. 1990, c. H.19*
- *Integrated Accessibility Standards Regulation, O. Reg. 191/11*

NEXT STEPS:

- Once approved by the Board of Governors, the revised policy instrument will be posted to the Policy Library.

MOTION:

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

SUPPORTING REFERENCE MATERIALS:

- Accessibility Policy



ACCESSIBILITY POLICY

1. PURPOSE

This policy affirms the OntarioTech University's commitment to promoting an accessible environment for work, study and in an effort to meet the requirements as set out in the *Ontario Human Rights Code* and the *Accessibility for Ontarians with Disabilities Act (AODA)* and associated regulations.

2. DEFINITIONS

For the purposes of this Policy the following definitions apply:

"Accessible Formats" may include, but are not limited to, large print, recorded audio and electronic formats, braille and other formats usable by persons with disabilities.

"Accommodation" means an adaptation or adjustment made to enable a person with a disability to demonstrate the essential competencies of their program/profession or fulfill the essential requirements of a particular course and/or program. The requirement, qualification or factor must be reasonable and bona-fide in the circumstances. Accommodations are specific to each individual and may include, but are not limited to:

- Human support services such as sign language interpreters, readers, classroom assistants etc.
- Assistance obtaining class notes
- Books and materials in an accessible format
- Disability related counselling and support
- Test and exam accommodations (e.g., extra time, technology, software)
- Access to specialized software, such as text-to-speech or speech-to-text
- Specialized support from a Learning Strategist and/or Assistive Technologist (i.e. technical aids and assistive devices)
- Workstation and/or office modifications
- Job redesign
- Flexible or alternative work schedules
- Temporary re-assignments

~~"Accommodation" means an adaptation or adjustment made to enable a person with a disability to perform the essential duties or requirements of the position. The requirement, qualification or factor must be reasonable and bona-fide in the circumstances. Accommodation may include, but is not limited to:~~

- ~~• Human support services such as sign language interpreters, readers, etc.~~
- ~~• Technical aids and assistive devices~~
- ~~• Workstation and/or office modifications~~
- ~~• Job redesign~~

- ▲ ~~Flexible or alternative work schedules~~
- ▲ ~~Temporary re-assignments~~

“Barrier” means anything that prevents a person with a disability from fully participating in all aspects of society because of his or her disability, including a physical barrier, an architectural barrier, an information or communications barrier, an attitudinal barrier, a technological barrier, a policy or a practice.

“Communication Supports” may include, but are not limited to, captioning, alternative and augmentative Communication Supports, plain language, sign language and other supports that facilitate effective communications.

“Disability” means:

- a) Any degree of physical ~~d~~Disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, including diabetes mellitus, epilepsy, and any degree of paralysis, amputation, lack of physical coordination, blindness or visual impediment, deafness or hearing impediment, or physical reliance on a guide dog or on a wheel chair or other remedial appliance or device;
- b) A condition of mental impairment or developmental Disability;
- c) A learning ~~d~~Disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language;
- d) A mental disorder; or
- e) An injury or ~~d~~Disability for which benefits were claimed or received under the *Workplace Safety and Insurance Act*.

“Disability” should be interpreted in broad terms. It includes both present and past conditions, as well as a subjective component, namely, one based on perception of disability.

“Disability” covers a broad range and degree of conditions, some visible and some not visible. A disability may have been present from birth, caused by an accident, or developed over time.

There are physical, mental and learning disabilities, mental disorders, hearing or vision disabilities, epilepsy, mental health disabilities and addictions, environmental sensitivities, and other conditions.

Disability is an evolving concept; a disability may be the result of combinations of impairments and environmental barriers, such as attitudinal barriers, inaccessible information, an inaccessible built environment or other barriers that affect people’s full participation in society.

“Employee” means all paid full and part-time staff, temporary, seasonal, contract, faculty, student employees at Ontario Tech.

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“Essential Competencies” means the knowledge, skills, judgement, values, beliefs etc. that are essential to the course/program/degree/profession that a student must be able to demonstrate.

“Essential Requirements” means the knowledge and skills that must be acquired or demonstrated in order for a student to successfully meet the learning objectives of a particular course and/or program.

“Human Resources Leader” means the person below the President, with responsibility for the Human Resources portfolio.

“Undue Hardship” as defined in the *Ontario Human Rights Code* prescribes three considerations in assessing whether an accommodation could cause undue hardship: Cost; Outside Sources of Funding; and Health and Safety Considerations. Additional information is available on the Ontario Human Rights Commission website (URL: www.ohrc.on.ca).

3. POLICY

OntarioTech University is committed to creating a campus community that is inclusive of all individuals and ensures equal opportunity among its members to achieve success in their academic and/or employment endeavours. The university recognizes that successful learning and employment outcomes are the result of a shared responsibility and commitment on the part of students, faculty and staff, and expects that all members of the community will advance the ongoing development of an environment that is accessible and inclusive, while actively working to identify, remove and prevent barriers to persons with disabilities up to the point of undue hardship.

To that end, OntarioTech University is committed to achieving the following accessibility goals as required by the *Accessibility for Ontarians with Disabilities Act (AODA)* and associated regulations:

- a) **Access to Goods and Services:** Providing access to goods and services in a manner that respects the dignity and independence of persons with disabilities, integrated to the extent possible with services provided to others, and offered in a way that gives persons with disabilities an opportunity to benefit from these services that is equal to service that is given to others. For further information please refer to the University’s Accessible Customer Service Policy.
- b) **Information and Communications:** Providing university information and communications to persons with disabilities upon request in Accessible Formats, or with communications supports, in a timely manner that takes into account their accessibility needs, at a cost that is no more than the cost to other persons, and in consultation with the person making the request to determine its suitability.
- c) **Websites and Web Content:** Ensuring that the internet websites that are accessible to the public, and the web content on those sites, conform to the World Wide Web Consortium Web Content Accessibility Guidelines (WCAG) 2.0 in accordance with the AODA standards.

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- d) **Educational Resources:** Providing educational or training resources offered by the university to persons with disabilities in an accessible format that takes into account their accessibility needs, where notification of need is given.
- e) **Individualized Accommodations:** For students with disabilities, the university provides reasonable academic accommodations in accordance with the University's Procedures on Academic Accommodation for Students with Disabilities. For employees with disabilities, the university provides individualized accommodation in accordance with the Procedures for Accommodation for Employees with Disabilities. Each person with a disability will be considered individually, on a case-by-case basis and every attempt will be made to provide disability-related accommodation up to the point of undue hardship.
- f) **Library Resources:** Providing, procuring or acquiring by other means upon request print, digital or multimedia resources or materials in an accessible or conversion ready format for a person with a Disability.
- g) **Public Information:** Making emergency procedures, plans and public safety information available to the public and upon request providing that information in an accessible format or with appropriate Communication Supports.
- h) **Accessibility Training:** Requiring the completion of accessibility training for all employees, volunteers and others who deal with members of the public or other third parties and every person who participates in developing the policies, practices and procedures governing the provision of goods or services to members of the public or other third parties. For further information please refer to the University's Accessible Customer Service Policy.
- i) **Education and Awareness:** Providing educational programs to employees appropriate to their duties that support the goals of the AODA and the *Human Rights Code* as it pertains to persons with disabilities, including accessible program or course delivery and instruction.
- j) **Procurement:** Incorporating accessibility criteria and features when procuring or acquiring goods, services and facilities. For more information, please refer to the University's Procurement of Goods and Services Policy, Procedures and Guidelines.
- k) **Transportation:** Providing accessible vehicles or equivalent services upon request where transportation services are provided.
- l) **Accessibility Plan:** Establishing and implementing a multi-year accessibility plan that outlines OntarioTech University's strategy to prevent and remove barriers to meet the requirements of the AODA regulations within the specified timelines. In developing the plan, the university will broadly consult with

members of the university community, including persons with disabilities. The plan will be posted on the university website. The university's progress in achieving its goals will be monitored and documented on an annual basis, and reviewed and updated every five years

- m) **Feedback process:** Encouraging individuals to provide feedback to the university on its efforts to meet goods and service delivery expectations while responding to the requests of individuals with disabilities. Feedback about this Policy or its implementation can be submitted by telephone, in person, in writing or in electronic format (*See the Feedback Accessibility Form*).

The Office of the University Secretary and General Counsel (USGC) is responsible for tracking and monitoring all feedback, relaying any comments/concerns to the respective departments and detailing resulting actions, as applicable.

The University will ensure the feedback process is accessible to persons with disabilities by providing, or arranging for the provision of, accessible formats and communication supports, on request.

Note: For policy or legislative inquiries, please contact aoda@ontariotechu.ca

Privacy will be respected and all feedback will be reviewed for possible action that can be taken to improve University services. Feedback received will be redirected to the appropriate contact person within the relevant unit of the University, as appropriate.

- n) Where possible, complaints will be addressed immediately. However, some complaints may require more effort to address, and must be reviewed for action, possibly involving a number of elements within the University. Every effort will be made to provide the acknowledgement of feedback in a timely and effective manner. The acknowledgement will indicate how the matter will be addressed and when the individual will be notified of the outcome. The University will follow up on any actions arising from the feedback and the timeframe for implementation will be provided as part of the notification of outcome. Feedback/responses will be in a format that is accessible to the individual.
- o) **Accessibility Working Group:** Establishing and supporting a working group to monitor the university's progress in achieving the goals set out in the multi-year accessibility plan and to identify and recommend changes to remove or prevent barriers to persons with disabilities.
- p) **Policies, Procedures and Communication Methods:** Reviewing the university's policies, procedures and methods of communication on a regular basis to ensure that they continue to take into account the needs of persons with disabilities.

4. SCOPE AND AUTHORITY

This policy applies to all members of the OntarioTech University community, including students, faculty, staff, volunteers, governors, contractors, consultants and visitors to the campus who

share in the responsibility to foster an environment that is accessible and inclusive, and to identify, remove and prevent barriers to persons with disabilities. Unit heads are additionally responsible for providing support, guidance and education while ensuring compliance with this policy.

The Office of University Secretary and General Counsel ~~The Human Resources Leader or successor thereof~~, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

The Office of University Secretary and General Counsel is responsible for the interpretation and administrative direction of this policy and its associated policies and procedures to ensure their compliance with the broader regulatory requirements.

5. PROCEDURES

The University will continue to review and develop policies, procedures and regulations to promote the ongoing creation of an accessible environment for work and study and to meet the requirements as set out in the *Ontario Human Rights Code* and the *Accessibility for Ontarians with Disabilities Act* (AODA) and associated regulations.

6. MONITORING AND REVIEW

These Procedures will be reviewed as necessary and at least every three years. The Provost and Vice-President Academic, or successor thereof, is responsible to monitor and review these Procedures.

7. RELEVANT LEGISLATION

Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005

Human Rights Code, R.S.O. 1990, c. H.19

Integrated Accessibility Standards Regulation, O. Reg. 191/11

Freedom of Information and Protection of Privacy Act, R.S.O. 1990, Chapter F.31

8. RELATED POLICIES, PROCEDURES AND RESOURCES

OntarioTech Feedback Accessibility Form

OntarioTech University Academic Accommodations for Students with Disabilities Procedures

OntarioTech University Procedures for Accommodation of Employees with Disabilities

OntarioTech University Accessible Customer Service Policy

OntarioTech University Procurement Policy and Procedures



FEEDBACK ACCESSIBILITY FORM

For any feedback regarding the accessibility of OntarioTech's goods and services, including documents and accessible format requests, please complete the form below.

Note: If you wish to be contacted, please enter your name and contact information.

Name:

Email or Phone Number:

Affiliation with OntarioTech University:

- ☐ Student
- ☐ Staff
- ☐ Faculty
- ☐ Alumni
- ☐ Visitor

Please give us your feedback or comments:

Ontario Tech University protects your privacy and your personal information. Your personal information will not be shared with any other parties or used for any other purpose than for communicating with you regarding the comments or concerns that you have raised. We will make all every reasonable efforts to address concerns or complaints immediately.

SUBMIT

HELP

If you are experiencing difficulties completing this form, please submit your feedback using the following alternative methods:

- via email to aoda@ontariotechu.ca;
- by telephone at 905.721.2000 ext. 6752 (Shay Babb, Copyright & Compliance Officer)
- by mail to 2000 Simcoe Street North, Oshawa, Ontario L1G 0C5, Canada
- in person to 61 Charles Street, Oshawa, Ontario L1H 4X8, 3rd floor, DTA 343.



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

Financial Impact ☐ Yes ☒ No Included in Budget ☒ Yes ☐ No

TO: Board of Governors

DATE: November 28, 2019

FROM: Audit and Finance Committee (A&F)

SLT LEAD: Pamela Onsiong, Acting Chief Financial Officer

SUBJECT: Policies and Procedures required for Payment Card Industry (PCI)
Data Security Standard (PCI DSS) Compliance

COMMITTEE MANDATE:

Under the university's Act, section 9 (1), the Board 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 is the approval authority for this policy and A&F is the approval authority for the related procedures. The procedures were approved by A&F at their meeting on November 20, 2019.

We are seeking the Board's approval of the Information Security Policy and PCI Sustainability Policy.

BACKGROUND/CONTEXT & RATIONALE:

The PCI DSS was established in 2006 to protect the major global credit card transaction processors from financial exposure due to merchants' security practices. PCI DSS sets stringent standards for how credit card information is received, processed and stored. The credit card consortia focused on merchants with the heaviest volumes first, and is

now turning its attention to the lightest merchant category – the category that includes the university.

In 2016, Durham College and the university jointly launched a project to secure PCI DSS compliance. Pursuit of compliance has entailed, among other things, remediating merchant processes, minimizing the amount of information technology infrastructure that is exposed to credit card transactions, and establishing tighter security controls and processes.

Durham College and the university will be positioned to apply for certification of compliance in January. We will need to have achieved compliance by the time our agreement with transaction acquirer Chase Paymentech expires in August 2020.

For Ontario Tech, the policies and procedures that must be formalized are

- Information Security Policy
- PCI Sustainability Policy
- PCI Sustainability Procedures

Our assessor – MNP – has reviewed the draft policies and procedures and has indicated that they are sufficient to meet requirements for certification.

RESOURCES REQUIRED:

No additional resources are required. Costs to achieve compliance are within budget. Ontario Tech costs to maintain compliance – e.g. periodic network penetration testing, annual staff training, network security service subscriptions – are approximately \$65K/year and are a cost of maintaining the ability to process credit cards.

IMPLICATIONS:

Acceptance of the recommendation will remove policy and procedures from risks to PCI DSS compliance.

At this point, the primary risk to timing of PCI DSS compliance is the availability of new point of sale terminals from Chase Paymentech. While we do not have a committed delivery date, Chase assures us that we are at the top of their delivery queue.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

Our students, staff and partners expect that we will continue to be able to process credit card transactions reliably and securely.

ALTERNATIVES CONSIDERED:

These policies and procedures are a necessary condition to achieve compliance.

The one alternative considered was to expand the scope of the Information Security policy to address the topic more broadly – for example, addressing topics such as privacy and data management. It was decided that it would be prudent to establish this

narrower policy now in support of PCI DSS compliance, and enhance the policy in the future.

CONSULTATION:

Date	Document Name	Description of Consultation	Comments received and response
June 25, 2019	Presentation on PCI Compliance	Academic Council	No comments.
June 27, 2019	Presentation on PCI Compliance	Policy Advisory Committee.	<p>Will training be offered to third party members i.e. parents wanting to pay their child's tuition using credit card. Response: Scope of PCI Compliance policy is the receiver of credit card information; training for third parties (i.e. guidelines on how to protect credit card data) can be arranged at a later date.</p> <p>Can accountability be ensured with DC providing IT services to OntarioTech? Response: Service Level Agreement contains an indemnity clause where one party commits to compensate the other of any harm, liability or loss arising out of a contract.</p>
September 3 – 17, 2019	All policy instruments	Review by Online Community	None
September 10, 2019	All policy instruments	Policy Advisory Committee	<ul style="list-style-type: none"> Expand "PCI" acronym in title of documents. Does Information Security policy apply to payments made via wire transfers; does it apply to all information at the University? Response: This policy does cover all information at the university, and can be broadened at a future date. Policy states exemptions will be provided but not what kind. Response: Exemptions will be provided by Chief Financial Officer on case-by-case basis.
September 24, 2019	All policy instruments	Academic Council	In definition of "cardholder data", specify person who has a credit card not credit.
October 2019	All policy instruments	Senior Leadership Team	None

COMPLIANCE WITH POLICY/LEGISLATION:

The three documents and underlying concepts have been reviewed with Secretariat staff.

NEXT STEPS:

1. The project team will be pleased to provide an update at A&F's convenience.

MOTION:

That pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby approves the Information Security Policy and PCI Sustainability Policy, as presented.

SUPPORTING REFERENCE MATERIALS:

1. Information Security Policy
2. PCI Sustainability Policy



Classification Number	
Framework Category	Legal, Compliance, and Governance
Approving Authority	Board of Governors
Policy Owner	
Approval Date	DRAFT September 2019
Review Date	
Supersedes	

POLICY TITLE

Information Security

PURPOSE

1. This Policy is the cornerstone of the university's information security program. It establishes the concept that information is an asset and the property of University of Ontario Institute of Technology. All information technology users are required to protect this asset.

2. DEFINITIONS

"Information Assets" means any information that is printed or written on paper, stored electronically, transmitted by post or using electronic means, shown on visual media, or spoken in conversation.

"University Member" means any individual who is:

- Employed by the University;
- Registered as a student, in accordance with the academic regulations of the University;
- 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.

"Information Owner" means an individual that has administrative control over the information and has been officially designated as accountable for a specific information asset dataset.

"Information Custodian" is a person who has technical control over an information asset dataset, usually IT Services.

"Cardholder Data Environment" or "(CDE)" means the segmented area of the network which encompasses applications, hardware, and network services in the transmission, processing, or storing of cardholder data.

SCOPE AND AUTHORITY

- 3.** This Policy applies to:
 - 3.1.** All University Members who are able to create and share information using University computing resources, and to any person or organization that handles University information and data regardless of their affiliation with or function within the University.
 - 3.2.** All information within the custody and control of the University, including the Cardholder Data Environment (CDE). Any activity aimed at the manipulation, transportation or use of information is subject to this policy throughout its life cycle.
- 4.** The Executive Director - Information Technology Services, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

- 5.** The University is committed to the security of information, both within the University and in communications with third parties.
- 6.** In securing information, it is essential that the following characteristics of information are preserved and maintained:
 - 6.1.** Confidentiality: ensuring that information is accessible only to those authorized to have access;
 - 6.2.** Integrity: safeguarding the accuracy and completeness of information and processing methods;
 - 6.3.** Availability: ensuring that authorized users will have access to information and associated assets when required.
- 7.** Information security training will be available to all employees at the start of employment, and at least yearly thereafter.
- 8.** Information Owners are responsible for properly classifying information in terms of their confidentiality, integrity and availability.
- 9.** Information Owners and Information Custodians shall work together to ensure adequate access measures are in place to protect information and IT resources from loss or unauthorized access.

- 10.** Information Owners and Information Custodians shall work together to ensure the integrity of information is maintained by protecting against unauthorized modification.
- 11.** Information Owners and Information Custodians shall work together to protect confidential information from unauthorized disclosure.
- 12.** All University Members may only have access to the confidential information that is required to perform their roles. They shall protect the confidentiality of the information to which they have access.
- 13.** An IT operational information security incident response procedure must be in place, reviewed and tested.
- 14.** Roles and Responsibilities
 - 14.1.** Managers are responsible for implementing the policy and ensuring staff compliance in their respective departments.
 - 14.2.** IT Services shall:
 - 14.2.1.** Maintain detection and prevention controls to protect against malicious software and unauthorised access to networks and systems.
 - 14.2.2.** Be responsible for creating, updating, and auditing information security plans, policies and procedures on an annual basis.
 - 14.2.3.** In cooperation with departmental system managers, administrators and users, be responsible for providing information security training.
 - 14.3.** All University Members handling University related information or using University information systems shall:
 - 14.3.1.** Be required to observe this Policy and these Regulations and are responsible for the consequences of their actions regarding computing security practices
 - 14.3.2.** Be in part responsible for protecting University information from unauthorized access, modification, destruction or disclosure.
 - 14.3.3.** Report immediately to the IT services any observed or suspected security incidents where a breach of this policy has occurred.
 - 14.4.** System administrators are responsible for administering user account authentication and account management.
 - 14.5.** The Executive Director - Information Technology Services is responsible for monitoring and enforcing this policy.
- 15.** Accessibility for Ontarians with Disabilities Act considerations
 - 15.1.** Accessibility for Ontarians with Disabilities Act (AODA) standards have been considered in the development of this policy.
- 16.** Consequence of Non-compliance:

- 16.1.** Non-compliance could affect the University's ability to conduct business, respond to requests for information, be transparent and accountable, and ensure confidentiality and privacy of personal information. This would be a risk to the University both financially and to its reputation in the community.
- 16.2.** Failure to comply with this policy could result in loss of access to the University's information technology services and equipment, disciplinary action up to and including suspension or termination of an employee, and/or legal action that could result in criminal or civil proceedings.

MONITORING AND REVIEW

- 17.** 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

- 18.** "This section intentionally left blank".

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 19.** Acceptable use of Technology Policy
PCI Sustainability Policy
PCI Sustainability procedure



Classification Number	
Framework Category	Legal, Compliance, and Governance
Approving Authority	Board of Governors
Policy Owner	
Approval Date	DRAFT September 2019
Review Date	
Supersedes	

POLICY TITLE

Payment Card Industry (PCI) Sustainability

PURPOSE

1. The purpose of this Policy is to establish the foundations required for the University of Ontario Institute of Technology to maintain compliance with the Payment Card Industry (PCI) Data Security Standard (DSS), and maintain the integrity of the PCI Cardholder Data Environment.

DEFINITIONS

For the purposes of this Policy the following definitions apply:

“Authentication” means verifying the identity of an individual, device, or process.

Authentication typically occurs through the use of one or more authentication factors such as a password, passphrase, a token device, smart card or a biometric.

“Cardholder Data” means the full information displayed on a credit card including the Primary Account Number, or the full Primary Account Number along with Cardholder name, Expiration date or Service code.

“Cardholder Data Environment” or **“CDE”** means the segmented area of the network which encompasses applications, hardware, and network services in the transmission, processing, or storing of cardholder data.

“Finance” means the organization under the direction of the Chief Financial Officer

“Hardened” means a secured computer system.

“Merchant” means a department, faculty or vendor using payment processing technologies deployed on the University of Ontario Institute of Technology networks.

“Multi Factor Authentication” or **“MFA”** means a method of authenticating a user whereby at least two factors are verified. These factors include something the user has (such as a smart card or dongle), something the user knows (such as a password, passphrase, or PIN) or something the user is or does (such as fingerprints, other forms of biometrics, etc.).

“Password” means the string of characters that serve as an authenticator of the user.

“PCI DSS” means Payment Card Industry Data Security Standard.

“PCI Zone” means anything that is in scope for PCI DSS compliance.

“Role-Based Access Control” means a system of permissions where access to a specific resource is defined by permissions assigned to specific roles; a role is given to a user based on their position/needs in relation to the organization.

“Unauthorized Network Equipment” means unauthorized devices connected to the network that poses a significant risk to the organization.

“Vulnerability” means a type of weakness in a computer system, in a set of procedures, or in anything that leaves information security exposed to a condition or an activity that have a

potential to cause information or information processing resources to be intentionally or accidentally lost, modified, exposed, made inaccessible, or otherwise affected to the detriment of the organization.

“Workstation” means a computer dedicated to a user or group of users engaged in business or professional work.

SCOPE AND AUTHORITY

2. This Policy applies to all Merchants using payment processing technologies deployed on the University of Ontario Institute of Technology networks, whether used by employees, students, vendors, contractors or business partners. Exemptions from this policy will be permitted only if approved in advance and in writing by the Chief Financial Officer.
3. The Chief Financial Officer, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

4. Finance shall ensure that the following activities are performed
 - 4.1. Ensure that payments taken over the phone leverage the PCI DSS acceptable third-party solution.
 - 4.2. Regularly, and prior to the annual PCI DSS compliance assessment, update inventory of critical PCI related technology such as cash registers and pin pads.
 - 4.3. Maintain a list of Merchants whose products are used to process credit card payments on behalf of the university. Ensure the service providers' PCI DSS compliance is monitored regularly, and prior to the annual assessment.
 - 4.4. Secure written agreements with Merchants that includes an acknowledgement that Merchants will maintain all applicable PCI DSS requirements to the extent the Merchant handles, has access to, or otherwise stores, processes, or transmits the customer's Cardholder Data or sensitive Authentication data, or manages the customer's Cardholder Data Environment on behalf of a customer.
 - 4.5. Ensure there is an established process for engaging PCI related Merchants including proper due diligence prior to engagement.
 - 4.6. Ensure new Merchants wanting to accept credit card information on campus are not allowed to process electronic transactions using the campus network infrastructure. New Merchants should use cellular enabled pin pads for in person transactions wherever possible. Exceptions need approval from the Executive Director - Information Technology Services.
 - 4.7. Ensure that if Cardholder Data is available through remote-access technologies, appropriate precautions are taken.

- 4.7.1. Personnel with a valid business need to see Cardholder Data must be authorized by Chief Financial Officer.
 - 4.7.2. Copying, moving, or storing Cardholder Data onto local hard drives and removable electronic media is prohibited.
- 5. Finance will ensure that Merchants responsible for PCI account access shall perform the following activities as needed:
 - 5.1. Creating, controlling and managing user accounts that can access the CDE.
 - 5.1.1. Every user must use a unique user ID and a personal secret Password for access to campus information systems and networks.
 - 5.1.2. User accounts must be created with the lowest required access level appropriate for the user, following the Role-Based Access Control principle.
 - 5.1.3. User privileges are to be reviewed on a regular basis and removed if the privileges are no longer required.
 - 5.1.4. Mechanisms such as tokens, digital certificates, or other means of Multi Factor Authentication may be used in addition to Passwords for the identification and Authentication of users, and must also be unique to each user.
 - 5.1.5. Where possible, users must be forced to change their Password when they first log on to the system.
- 6. Finance shall ensure the following activities are performed as needed:
 - 6.1. User accounts are only to remain active for the period required for users to fulfill their responsibilities.
 - 6.2. Central IT accounts of staff will be disabled once the staff no longer appear on payroll.
 - 6.3. Password Aging Rule
 - 6.3.1. Administrators who operate their own systems associated with the Cardholder Data Environment (CDE) are responsible for implementing a process to force Aging of Passwords at least every 90 days.
 - 6.4. Merchants processing credit cards shall perform the following activities on a regular basis:
 - 6.4.1. Ensure that they understand the PCI standards .
 - 6.4.2. Inspect pin pad devices for signs of tampering or substitution such as broken seals or incorrect serial numbers.
 - 6.4.3. Ensure that credit card information at rest is encrypted if electronic, and physically secured if on paper.
 - 6.4.4. Ensure that Multi Factor Authentication is used to access payment workstations remotely.

7. IT Services shall ensure that the following activities are performed on a regular basis
 - 7.1. Ensure that the network and data flow diagram(s) accurately reflect the network architecture.
 - 7.2. Ensure that the Credit Card Data information in transit is secure and encrypted within the campus infrastructure.
 - 7.3. Review firewall and router rulesets pertaining to the PCI Zone at least every six months.
 - 7.4. Regularly, and prior to the annual assessment, update inventory of all CDE locations, hardware / software / applications and networks.
 - 7.5. Update configuration standards as necessary and ensure the Workstations used are Hardened and comply with the PCI Standard.
 - 7.6. Review Vulnerabilities in a timely fashion once the software publisher provides security alerts.
 - 7.7. Install applicable vendor-supplied patches: critical within one month, non-critical within three months for all IT Assets in the CDE.
 - 7.8. Scan for the presence of all Unauthorized Network Equipment in the PCI Zone.
 - 7.9. Ensure that Multi Factor Authentication is used to administer or access payment Workstations remotely
 - 7.9.1. All remote-access technologies must be configured to automatically disconnect sessions after 30 minutes of inactivity.
 - 7.9.2. All remote-access technologies and associated accounts used by Merchants to access the CDE must be activated only when needed, with immediate deactivation after use. Activating these remote-access paths and accounts requires submitting a request to the IT Service Desk.
 - 7.10. Engage and manage an Approved Scanning Vendor (ASV) to conduct external vulnerability scanning.
 - 7.11. Review, and update as necessary, the organization's information security related policies, procedures, and standards from a PCI perspective.
8. IT Services shall ensure that the following activities are performed on a regular basis
 - 8.1. Confirm the location(s) of the CDE and flow of Cardholder Data and ensure that they are included in the PCI DSS scope, including backups.
 - 8.2. Review compensating controls to ensure that they are properly documented and are still applicable.
 - 8.3. Conduct a formal threat risk assessment at least annually and upon significant changes to the environment (for example, acquisition, merger, relocation, etc.).
 - 8.4. Conduct an awareness program for Merchants, confirm they have read and understand the policy/procedures.

MONITORING AND REVIEW

9. This Policy will be reviewed as necessary and at least every three years. The Chief Financial Officer, or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 10.** This section intentionally left blank.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 11.** Information Security Policy
- 12.** Acceptable Use of Technology Policy
- 13.** PCI Sustainability Procedure



BOARD REPORT

SESSION:

Public ☒ ☐
 Non-Public ☒ ☐

ACTION REQUESTED:

Decision

Discussion/Direction ☐
 Information ☐

TO: Board of Governors

DATE: November 28, 2019

FROM: Academic Council

SUBJECT: Amendments to Academic Council Executive Committee (ACX) Terms of Reference (now Steering Committee)

MANDATE:

- Article 1.4(d) of the university's By-law No. 2 provides that Academic Council will make recommendations to the Board on matters including the establishment and terms of reference committees to exercise the Academic Council's delegated authority under Article 1.
- As part of the implementation of By-law No. 2, Academic Council has been reviewing the Terms of Reference for all of its standing committees.
- Academic Council is seeking the Board's approval of the updated ACX Terms of Reference (now Steering Committee).

BACKGROUND/CONTEXT:

- The Academic Council Executive Committee (ACX) reviewed and provided feedback on its Terms of Reference (ToR) in March 2019.
- The proposed changes to the ToR were also presented to Academic Council (AC) for consultation at the meeting on June 25 (deferred from May) and comments from the meeting are summarized below.
- The Report to Academic Council on the Review of Academic Council Executive Committee Terms of Reference dated May 28, 2019 is also attached for ease of reference.

Comments from Academic Council meeting on proposed amendments:

- The proposed mandate of the Steering Committee does not promote bicameral governance.
- By removing the authority of ACX to approve matters during the summer months, would this potentially cause issues?

Rationale:

- The updated ToR reflect a desire expressed by some faculty that ACX become more transparent.
- During the review, the actual activities of ACX were parsed out and set out in the updated ToR.
- The ACX ToR were also updated to reflect the establishment of GNC, which assumed responsibility for nominations and governance matters.
- If matters arise that require approval during a time when AC is not scheduled to meet, a meeting or conference call with Council would be scheduled so as not to impede the approval.

MOTION:

That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the Steering Committee Terms of Reference (formerly Academic Council Executive Committee), as presented, effective January 1, 2020.

SUPPORTING REFERENCE MATERIALS:

- Steering Committee Terms of Reference

- Academic Council Report - Review of Academic Council Executive Committee Terms of Reference dated May 28, 2019 (discussed at June Council meeting)



ACADEMIC COUNCIL COMMITTEE REPORT

SESSION:

Public
Non-Public

☒
☐
ACTION REQUESTED:

Decision
Discussion/Direction
Information

☐
☒
☐

TO: Academic Council

DATE: May 28, 2019

FROM: Governance & Nominations Committee

SUBJECT: Review of Academic Council Executive Committee Terms of Reference

COMMITTEE MANDATE:

- Section 1(a) of the GNC Terms of Reference lists one of the responsibilities of the committee as advising Academic Council on the establishment, terms of reference, composition, membership and retirement of its committees.
- As part of the implementation of By-law No. 2, the GNC has been asked to review the Terms of Reference for all of Academic Council's standing committees.

BACKGROUND/CONTEXT:

- In order to assist the GNC with its review, the Academic Council Executive Committee (ACX) reviewed and provided feedback on its Terms of Reference.

ACX Comments:
Committee Composition:

- eliminate term "core faculty"
- should the member nomination process be set out in the ToR?
- should there be representation of all Faculties on the committee?
 - would lead to a richer discussion if there were representatives from each Faculty on the committee
 - could include a provision in ToR stating that when establishing membership, should consider diversity of representation (different

- Faculties, gender balance, downtown/north campus representation, experience, etc.)
 - committee acknowledged difficulty of filling open positions on committees
 - preference to keep the number of faculty on ACX at 5 with a note about goal of having diversity of perspectives on committee
- should solicit expressions of interest from Academic Council
- change core faculty to “elected faculty representatives from Academic Council”
- add Vice-Chair of Academic Council (AC) to the committee membership
- Vice-Chair of AC should also serve as Vice-Chair of ACX

Mandate Comments

- items #5 & #7 under the mandate are no longer relevant given establishment of the GNC
- #2 should also not be in the mandate of ACX – if advice of AC is required on budgetary matters, then should get perspective of AC as a whole and not only a subset of AC members
 - if new programs are coming through AC, budgetary questions should be considered at the Faculty level
 - ACX can be facilitator of budgetary discussions, but ACX should not be a budgetary committee
 - suggest to GNC that should consider establishing a budget advisory committee
- suggestion that ACX’s main role is to facilitate AC activities – consider the information being presented & whether there is sufficient time
- main role of ACX is to review & approve ACX agendas & advise on material

Meeting Dates & Times

- build in flexibility – do not state specific day or time
- suggest stating that ACX to meet at least 2 weeks before Academic Council, as deemed necessary by the Chair

GNC’s comments:

- The Vice-Chair of AC should also serve on ACX, either as an ex-officio member or be selected from among ACX members
- After much discussion, the committee supported the approach of soliciting expressions of interest from Council members for positions on ACX and then canvassing ACX for members interested in serving as Vice-Chair.
- This would require updating the ACX Terms of Reference to make the administrative staff member eligible for membership, as well.
- GNC emphasized the importance of ensuring a diversity of perspectives on ACX (gender balance, different Faculties, faculty/students/staff, downtown/north campus, tenured/tenure track & teaching faculty).
- The committee recommended including a statement of the value of having a diversity of perspectives in the Terms of Reference.

NEXT STEPS:

1. Academic Council's feedback will be communicated to GNC at the meeting on June 18, 2019.
2. The Terms of Reference will be presented to Academic Council for recommendation on June 24, 2019.

SUPPORTING REFERENCE MATERIALS:

- Proposed Terms of Reference for ACX
- Current Terms of Reference for ACX

ACADEMIC COUNCIL Steering Committee

1. TERMS OF REFERENCE

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.

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.



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

TO: Board of Governors

DATE: November 28, 2019

FROM: Academic Council

SUBJECT: Amendments to Graduate Studies Committee Terms of Reference

MANDATE:

- As part of the implementation of By-law No. 2, the Governance & Nominations Committee of Academic Council has been asked to review the Terms of Reference for all of Academic Council's standing committees.
- As set out in Article 1.4(d) of By-law No. 2, Academic Council will make recommendations to the Board on matters including the establishment and terms of reference of committees to exercise the Academic Council's delegated authority under this Article.
- Academic Council is seeking the Board's approval of the proposed Graduate Studies Committee (GSC) Terms of Reference (ToR).

BACKGROUND/CONTEXT:

- In order to assist the GNC with its review, the GSC undertook a review and proposed revisions to its Terms of Reference in February 2019.
- The GNC considered the suggested changes and presented updated GSC ToR to Academic Council for consultation at the meeting on June 25, 2019. Academic Council did not share any comments on the proposed changes.

Recommendations:

Membership

- The 2010 GSC membership list comprises positions that no longer exist at UOIT (e.g. Associate Provost, Research; Graduate Programs Officer; core faculty) and

lacks sufficient representation from all program areas. This lack of representation had been remedied by the establishment of a parallel Graduate Program Director committee that held regularly scheduled meetings.

- **Groups:** Consistent with practices observed at other universities, recommended membership is categorized into the following representative groups.
 - *Ex-Officio*
 - School of Graduate and Postdoctoral Studies
 - Students
 - Elected Faculty members from Academic Council who hold graduate faculty appointments
- **Voting Status:** Voting and non-voting status is indicated as appropriate for the roles of the members.

Notes:

- *Ex-officio* voting members would consist of all Graduate Program Directors (GPD) (instead of the current membership of one GPD per Faculty). Currently, items for consultation are posted on the GSC SharePoint site and GPDs who are not committee members are invited to provide feedback or attend the meetings as non-voting members. It was felt that having all GPD's serving as voting members on the committee would allow for better participation and also include a broader representation of voices from Faculties.
- The VP, Research and Innovation, would also be included as a voting member, given the continual close relationship between Graduate Studies and Research.
- Additionally, non-voting *ex-officio* members deemed to be most relevant to Graduate Studies would be included. This is commonly found at other comparator universities.
- We also recommend including a member of the university's Secretariat as a non-voting *ex-officio* member in order to provide governance advice to the committee & to be consistent with the recently approved Terms of Reference for the Undergraduate Studies Committee (formerly Curriculum & Program Review Committee).
- The School of Graduate and Postdoctoral Studies representation would now include the Assistant Dean and Associate Dean as voting members and the Manager as a non-voting member. This also reflects practices at comparator universities.
- Student representation would now include one representative from the Graduate Student Council, in addition to the one elected graduate student. It was decided that both student representatives should be full-time students, as previous experience revealed difficulty in obtaining part-time student engagement.

- Finally, elected faculty members from Academic Council would be included as voting members of the committee; these members are recommended based on the additional value they could provide - broader interest (i.e. of the university as opposed to narrower interest of faculty/program); expertise and experience from having potentially previously served as a Graduate Program Director or an Associate Dean – preference to have representation from North and Downtown campuses – this would also be consistent with the recently approved Terms of Reference for the Undergraduate Studies Committee (formerly Curriculum & Program Review Committee).
- **Conclusion:** By revising the membership as described above, GSC meetings would include a larger group with familiarity of all graduate disciplines and would contribute to a more effective governance of graduate studies. This revised membership would allow the elimination of the GPDC (Graduate Program Director Committee) meetings that were previously held twice per term, in parallel with the GSC meetings.

Terms of Reference

- Updates to the 2010 Terms of Reference were made in order to reflect current practices. For instance, the appointment of sub-committees was added to the mandate of GSC which reflects previous and ongoing working groups formed to address graduate support budget, scholarship selection committees and GSC governance.
- Other revisions were made to the text of the GSC responsibilities to bring its wording in line with actual activities.

MOTION:

That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the updated Graduate Studies Committee Terms of Reference, as presented, to be implemented in September 2020.

SUPPORTING REFERENCE MATERIALS:

- clean & blacklined Terms of Reference for GSC

GRADUATE STUDIES COMMITTEE

I. MEETING DATES AND TIMES

Meetings shall be held monthly from September to June unless otherwise determined by the Chair.

II. MEMBERSHIP

Ex-officio (non-voting)

- Provost
- Deans
- Librarian
- Office of the Registrar representative
- Centre for Institutional Quality Enhancement representative
- Secretary of Academic Council (or designate)

Ex-officio (voting)

- VP, Research and Innovation
- Graduate Program Directors

School of Graduate and Postdoctoral Studies

- Dean (Chairing, voting only in the event of a tie)
- Associate Dean and Assistant Dean (voting)
- Manager (non-voting)

Students (voting)

- 1 representative from Graduate Student Council
- 1 elected graduate student

Note: at least one of the graduate students must be at the PhD level

Academic Council members (voting)

- 2 members from among elected faculty members of Academic Council who have graduate faculty appointments

III. TERMS OF REFERENCE

The Graduate Studies Committee has the responsibility for the academic quality of graduate studies in each Faculty. It represents Faculty-wide concerns about graduate students to Academic Council, and provides advice to Faculty and Academic Council on issues related to graduate studies. Specifically, the Graduate Studies Committee will:

- a) Maintain the academic standards set by Academic Council
- b) As needed, appoint sub-committees to deal with issues related to graduate studies. These may include, but are not limited to scholarships, policy and regulations, appeals, etc.;

- c) Examine proposals for new graduate degree and diploma programs, major changes to existing programs and to recommend their approval, as appropriate, to Academic Council;
- d) Approve minor program adjustments and changes to individual graduate courses.
- e) In reviewing the proposals under (c) and (d), the committee will:
 - Take responsibility for ensuring the academic quality of the proposal;
 - Look for evidence that the proposal has emerged from unit planning processes and will meet the standards established by relevant external bodies including the Quality Assurance Framework;
 - Encourage, wherever possible, cooperation and consultation among academic units including the promotion of complementary programming; and
 - Flag for Academic Council's attention matters bearing on academic policy.
- f) Approve Final Assessment Reports (FARs) and action plans arising from the cyclical review of graduate programs and report to Academic Council on the outcomes of reviews conducted during the academic year, the implementation of recommendations from previous reviews, and the schedule of reviews for the next academic year;
- g) Review approved nominations for graduate faculty appointments for supervision and teaching privileges. Make decisions on appeals related to graduate faculty appointments.
- h) Review and recommend for approval graduate student admissions requirements;
- i) Review and recommend for approval graduate program regulations;
- j) Review and recommend for approval graduate scholarship policy;
- k) Review and approve terms of reference for all graduate scholarships, bursaries and other academic awards and prizes and to report its decisions on these matters to Academic Council;
- l) Provide advice to Academic Council on student financial support issues;
- m) Review and recommend for approval student and registrarial policies related to financial support, admission, transfer of credits, etc.;
- n) Render a decision with respect to cases of graduate students' misconduct of research, appeals and any other issues related to unsuccessful completion of a graduate program.
- o) Establish, oversee, and periodically review the graduate academic, admissions, and scholarship procedures, guidelines, and directives; and revise when appropriate; and provide regular updates to Academic Council; and
- p) to review and recommend to Academic Council changes to graduate academic, admissions, and scholarship policy.



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: November 28, 2019

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

SUBJECT: Review of GNHR Terms of Reference

COMMITTEE MANDATE:

- GNHR's responsibilities under its Terms of Reference include providing advice to the Board on its governance structure and processes, and matters pertaining to the organization of the Board and its committees.
- As part of the committee's mandate, it must conduct a periodic review of its Terms of Reference and recommend revisions to the Board when appropriate.
- We are seeking the Board's approval of the proposed amendments to the GNHR Terms of Reference.

BACKGROUND/CONTEXT & RATIONALE:

- We reviewed GNHR's Terms of Reference in the context of the new brand, as well as any comments received since they were last updated in November 2018.
- The proposed amendments are editorial in nature.

COMPLIANCE WITH POLICY/LEGISLATION:

- this is compliant with the Act and By-laws

MOTION:

That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee (GNHR), the Board of Governors hereby approves the proposed amendments to the GNHR Terms of Reference, as presented

BOARD OF GOVERNORS

Governance, Nominations and Human Resources Committee

1. TERMS OF REFERENCE

The Governance, Nominations and Human Resources Committee is a standing committee of the UOIT-university's Board of Governors and is responsible for providing advice to the Board on its governance structure and processes, the nomination and election of new members and board performance, and matters concerning the university's human resources policies, strategies and plans.

The Governance, Nominations and Human Resources Committee is empowered with decision-making authority on behalf of the Board of Governors with respect to the setting of human resources policies, compensation plans and collective bargaining mandates.

The Committee shall also consider such other matters that are delegated to the Committee by the UOIT Board of Governors.

Specifically, the Governance, Nominations and Human Resources Committee shall have the following responsibilities:

i) Governance

- Advising the Board on matters pertaining to the organization of the Board of Governors and its committees and the Board's relationship with other bodies at the university as established in the UOIT-university's Act and By-Laws.
- Periodically reviewing the UOIT-university's By-Laws and other policies of the Board and its committees, and relevant university policies, making recommendations to the relevant governing body or administrative department for development and revision when appropriate.

ii) Nominations

- Overseeing the process of recruiting, selecting and electing new governors and recommending their appointment to the Board, in accordance with the UOIT-university's Act and By-laws. In doing so, the Committee shall strive to achieve a balance of skills, expertise and knowledge among its membership, while reflecting the demographic and cultural diversity of the communities served by the university.
- Overseeing the development of programs for the orientation and ongoing education of governors on university operations, matters affecting the post-secondary education sector, and good governance practices.

- Developing, implementing and monitoring procedures for assessing the effectiveness of the Board and its committees.
- Overseeing the nomination and election of a Chair and Vice-Chair from among the external governors of the Board.
- Assessing the leadership needs of the Board, and in consultation with committee chairs, recommend chair and individual member assignments for each of the standing committees.

iii) Human Resources

- Establishing collective bargaining mandates for the university's representatives engaged in negotiation of collective agreements with certified bargaining agents representing persons employed at the university
- Establishing human resources policies that govern terms and conditions of employment of university staff and faculty.
- Establishing changes to the compensation of university staff and faculty not represented by a bargaining agent.

2. MEETINGS

The Committee shall meet at least four (4) times per year, or otherwise at the Committee's discretion. In accordance with the UOIT-university's Act and the Board of Governors Meeting Policy and Procedures, the Committee shall conduct three types of Meetings as part of its regular administration: Public, Non-Public and *In Camera* (when required).

Commented [BD1]: Provides committee with additional flexibility in scheduling additional or fewer meetings, as required

3. MEMBERSHIP

The Committee shall be composed of:

- Between three (3) and seven (7) external governors.

4. QUORUM

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



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: November 28, 2019

FROM: Strategy & Planning Committee (S&P)

SUBJECT: Review of S&P Terms of Reference

COMMITTEE MANDATE:

- As part of the committee's mandate, it must conduct a periodic review of its Terms of Reference and recommend revisions to the Board when appropriate.
- We are seeking the Board's approval of the proposed amendments to the S&P Terms of Reference.

BACKGROUND/CONTEXT & RATIONALE:

- We reviewed S&P's Terms of Reference in the context of the new brand, as well as any comments received since they were last updated in November 2018.
- The proposed amendments are editorial in nature.

COMPLIANCE WITH POLICY/LEGISLATION:

- this is compliant with the Act and By-laws

MOTION:

That pursuant to the recommendation of the Strategy & Planning Committee (S&P), the Board of Governors hereby approves the proposed amendments to the S&P Terms of Reference, as presented.

SUPPORTING REFERENCE MATERIALS:

- blacklined version of S&P Terms of Reference

BOARD OF GOVERNORS STRATEGY AND PLANNING COMMITTEE

1. Terms of Reference

The Strategy and Planning Committee is a standing committee of the UOIT-university's Board of Governors and is responsible for overseeing the strategic planning for all aspects of the university and assessment of the implementation of the university's plans in the context of the university's vision, mission and values.

The Committee shall engage in broad strategic planning by reviewing, at least once every 2 years, and making recommendations to the Board on the following:

- i) the university's strategic plan;
- ii) the plans supporting the implementation of the strategic plan, including those plans that reinforce the core mission of the university including, but not limited to plans in the area of:
 - (1) strategic differentiation and positioning;
 - (2) government and institutional relations;
 - (3) advancement;
 - (4) infrastructure, and;
 - (5) strategic plan performance metrics.
- iii) strategic foresight, risk, and scenario planning;
- iv) annual Board of Governors retreat planning; and
- v) other areas as the Board may assign to the Committee.

Governance, governance plans and human resources plans are within the purview of the Governance, Nominations and Human Resources Committee.

2. Meetings

The Committee shall meet at least four (4) times per year, or otherwise at the Committee's discretion. In accordance with the UOIT-university's Act and the Board of Governors Meeting Policy and Procedures, the Committee shall conduct three types of Meetings as part of its regular administration: Public, Non-Public and *In Camera* (when

| required).

3. Membership

The Committee shall be composed of:

- Between three (3) and seven (7) external governors
- Up to three (3) elected governors

The Chair shall be selected from among the external governors.

4. Quorum

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



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction

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TO: Board of Governors

DATE: November 20, 2019

FROM: Investment Committee

SUBJECT: Review of Investment Committee Terms of Reference

COMMITTEE MANDATE:

- As part of the Investment Committee's mandate, it must conduct a periodic review of its Terms of Reference (ToR) and recommend revisions to the Board when appropriate.
- We are seeking the Board's approval of the proposed amendments to the Investment Committee ToR.

BACKGROUND/CONTEXT & RATIONALE:

- We reviewed the Investment Committee's ToR in the context of the new brand, as well as any comments received since they were last updated in November 2018.
- The proposed amendments are editorial in nature.

COMPLIANCE WITH POLICY/LEGISLATION:

- this is compliant with the Act and By-laws

MOTION:

That pursuant to the recommendation of the Investment Committee, the Board of Governors hereby approves the proposed amendments to the Investment Committee Terms of Reference, as presented.

SUPPORTING REFERENCE MATERIALS:

- blacklined version of Investment Committee Terms of Reference

BOARD OF GOVERNORS

Investment Committee of the Audit and Finance Committee

1. TERMS OF REFERENCE

The Investment Committee is a sub-committee of the Audit and Finance Committee and is responsible for overseeing the management of the University's investments (Funds) as outlined below and in accordance with the university's Statement of Investment Policies ("SIP"). The University's investments include all funds invested by the University other than funds that may be invested from time to time in the university's pension plan(s).

The Committee shall also consider such other matters delegated to the Committee by the UOIT Board of Governors under the auspices of the Audit and Finance Committee.

The Investment Committee shall have the following responsibilities:

- i) Maintaining an understanding of applicable legal and regulatory requirements and constraints;
- ii) Reviewing on an annual basis the university's Statement of Investment Policies (SIP) and making appropriate recommendations to the Audit and Finance Committee;
- iii) Providing semi-annual reports to the Audit and Finance Committee, and through that Committee to the Board of Governors, on the performance of the Funds and any other aspects of the Funds that the Investment Committee deems appropriate or as requested by the Board;
- iv) Formulating recommendations to the Audit and Finance Committee regarding the selection, engagement and dismissal of the Investment Manager ("the Manager"), the Custodian, the Consultant, and any other agents or advisors that may be necessary to prudently manage the Funds;
- v) Overseeing the Funds and the activities of the Manager, including the Manager's compliance with their mandate and the investment performance of assets;
- vi) Considering ESG factors in its investment process;
- vii) Ensuring that the Manager is apprised of any new amendments to their mandate; and
- viii) Informing the Manager of any significant cash flows.

2. MEETINGS

The Committee shall meet at least four (4) times per year, or otherwise at the Committee's discretion. In accordance with the UOIT-university's Act and the Board of Governors Meeting Policy and Procedures, the Committee shall conduct three types of Meetings as part of its regular administration: Public, Non-Public and *In Camera* (when required).

3. MEMBERSHIP

Committee members shall be appointed by the Board of Governors in consultation with the Audit and Finance Committee and be comprised of:

- Between three (3) and seven (7) external governors, including:
 - one governor who is also a member of the Audit and Finance Committee; and
 - one governor who is also a member of the Strategy and Planning Committee
- Up to three (3) elected governors

Consideration shall be given to governors who possess the requisite financial and investment expertise to provide knowledgeable oversight of the investment portfolio.

The Chair will be selected from among the external governors.

4. QUORUM

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



BOARD OF GOVERNORS' 112th REGULAR MEETING & ANNUAL GENERAL MEETING

Minutes of the Public Session of Wednesday, June 26, 2019
8:30 a.m. to 10:45 a.m.
55 Bond Street, DTB 524

GOVERNORS IN ATTENDANCE:

Doug Allingham, Board Chair
Nigel Allen, Chair of Audit & Finance Committee
Liqun Cao
Stephanie Chow, Chair of Investment Committee
Kevin Chan
Lisa Edgar (*via videoconference*)
Laura Elliott
Ferdinand Jones
Kori Kingsbury
Mark Neville
Jessica Nguyen
Dietmar Reiner
Maria Saros
Trevin Stratton (*via videoconference*)
Jim Wilson
Lynne Zucker

REGRETS:

Noreen Taylor, Chancellor
Francis Garwe, Chair of Governance, Nominations & Human Resources Committee
Thorsten Koseck, Chair of Strategy & Planning Committee
Dale MacMillan

BOARD SECRETARY:

Becky Dinwoodie, *Assistant University Secretary*

UOIT STAFF:

Cheryl Foy, *University Secretary & General Counsel*
Doug Holdway, *Interim VP of Research, International 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*

GUESTS:

Owen Davis
Jackie Dupuis
Les Jacobs

1. Call to Order

The Chair called the meeting to order at 8:33 a.m.

2. Agenda

K. Kingsbury requested that agenda item 10.1 be moved into the non-public session.

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

3. Conflict of Interest Declaration

There were none.

4. Chair's Remarks

N. Allen welcomed everyone to the last Board meeting of the year. Due to a scheduling conflict, the Board Chair would be joining the meeting a little later and N. Allen would be stepping in as Chair until he arrives. N. Allen welcomed the new VP Research and Innovation, Dr. Les Jacobs, who was attending the meeting as a guest. He also welcomed Owen Davis, who would be joining the Board as the student governor in September.

N. Allen remarked that it had been another exciting year in the history of the university, particularly because of the launch of the new brand. As Vice-Chair, he thanked the Board members for their commitment, enthusiasm, and engagement over the past year.

N. Allen reported on this year's convocation ceremonies, which were held on June 6 and 7 at Tribute Communities Centre. The attendees heard inspiring addresses from the honorary degree recipients – Kate Beirness, Al Libfeld, The Right Honourable Beverley McLachlin, and Annette Verschuren. He noted that Kate Beirness' prediction of the Raptors winning the NBA Championship in six games was accurate. He congratulated the Convocation team on another successful year. Many governors attended at least one ceremony and he encouraged those who couldn't make it this year to plan to attend next year. Convocation week is a special time for the university.

5. President's Report

The President thanked D. Holdway for serving as Interim VP Research and Innovation. D. Holdway was one of the original faculty members at the university and also served as Interim Dean of Science. The President thanked him for all of his contributions to the institution. The President also formally introduced L. Jacobs to the Board and provided a summary of his background.

The President thanked the convocation teams, governors and faculty for participating in the university's convocation ceremonies. He also reported on the university's first

official attendance at this year's Pride Parade. The President also directed the Board to the release of OIRA's 2018-2019 Fact Book, which was included in the weekly report distributed the day before.

Strategic Retreat Debrief

The President thanked the governors for their active engagement during the spring retreat. The senior leadership team received valuable feedback from the governors in attendance. A few ideas the senior leadership team are looking at implementing include:

- how to have more strategic discussions rather than just discussing the required operational oversight; and
- how to have more engaged discussions when materials clearly layout the options.

There were also great discussions regarding the intersections between the region's priorities and the university's priorities. The key areas related to energy and AI seem to be topics where we could help be regional leaders. He noted that a key point to remember is that the SMA3 will be tied to funding, which is very important but should not detract from the university's strategic vision.

6. Academic Council

(a) Annual Report

F. Jones delivered the Academic Council report. He noted that a summary of the proposed changes to the Institutional Quality Assurance Process policies and procedures was included in the meeting material for information. He asked governors to forward any comments they might have to the Board Office and the questions would be forwarded on to the CIQE Office.

It was another very busy year for Academic Council. He highlighted several of Council's accomplishments:

- recommended the establishment of a Bachelor of Arts (Honours) and Bachelor of Science (Honours) in Psychology;
- recommended the establishment of a Bachelor of Science (Honours) in Integrative Neuroscience;
- approval of the definition of Experiential Learning & amendments to course nomenclature;
- acceptance of the recommendations of the Graduate External Scholarship Selection Working Group Interim Report; and
- approval of Equity Admissions procedure statement for use in the Undergraduate Academic Calendar.

Academic Council also took a significant step in the evolution of its governance with the establishment of a Governance and Nominations Committee. The committee made significant progress in the implementation of By-law No. 2. Academic Council also coordinated two strategic Colleagues' Exchange, where they discussed timely topics. This new Colleagues Exchange format will continue next year.

Agenda Item 12.6
N. Allen thanked F. Jones for agreeing to serve as the governor member of Academic Council. He noted the importance of the continued evolution of the governance of Academic Council, which will surely assist in the strengthening of bicameral governance.

N. Allen thanked all of the Council members for their hard work this year, but particularly those members of Academic Council whose terms would be ending on June 30:

- Brad Easton
- Mike Eklund
- Glenn Harvel
- Andrew Hogue
- Andrea Kirkwood
- Atef Mohany
- Tejus Tuppal

(b) Co-Populous Report

J. Wilson delivered the co-populous report. On June 6, Durham College's (DC) Hub for Applied Research in Artificial Intelligence for Business Solutions (the AI Hub) held an AI Summit, the first conference of its kind in Durham. DC's convocation took place between June 11-13. He also reported on DC's last Board meeting, at which they approved the establishment of a new esports management program. DC is also partnering with Coding for Veterans to provide customized coding training for veterans.

N. Allen thanked J. Wilson for serving on both Boards, recognizing that it is a huge time commitment. N. Allen discussed the joint Board meeting that was held at the beginning of May. They are looking forward to organizing future events with the DC Board.

Committee Reports

8. Audit & Finance Committee (A&F):

N. Allen delivered the A&F report. At the committee's last meeting, they received an overview of the key changes to the section in Part III of the CPA Canada Handbook, dealing with Tangible Capital Assets Held by Not-for-Profit Organizations, and its impact on the recognition, valuation and amortization of the university's capital assets. The new standard is effective for annual periods beginning on or after January 1, 2019. Accordingly, the university will be required to apply the new standard for the first time in its annual financial statements for the year ending March 31, 2020 and will apply it to transactions starting April 1, 2019.

The committee received an update on the status of the installation of the moving ground plane. The ACE building extension is on track for completion by the end of July and the equipment integration is targeting completion by September 2020. The committee also received updates on the Campus Recreation and Wellness Centre (CRWC) expansion and AVIN projects, the reports for which are included in the meeting material. As a reminder, the CRWC expansion is being done in preparation for the introduction of varsity basketball at the university in fall 2019. These construction projects signal an exciting time at the university.

A&F received an update on the status of the land exchange with the City of Oshawa. The archaeological reports are complete and the valuation report was almost finished; accordingly, the university and city are close to finalizing the transaction.

N. Allen reported that the committee also received the annual policy and compliance review. A&F receives an annual update on the types of policies that are being developed, revised, and approved. The list of policy activity is included in the meeting material. The university's Annual Insurance Report was also presented in order to allow the committee to assess the sufficiency of the coverage.

A governor commented that the introduction of a varsity basketball team in the fall is very timely given the recent success of the Raptors.

Finance

8.1 2018-2019 Audited Financial Statements

N. Allen provided an overview of KPMG's Audit Findings Report. He advised that no significant audit risks were identified and they did not identify any control deficiencies that were determined to be significant deficiencies in internal control over financial reporting. KPMG discussed their key observations on:

- accrued liabilities – legal, retroactive pay & access copy;
- allowance for doubtful accounts – student receivables;
- journal entry posting & authorization;
- future direction of “bring your own device”; and
- vacation day carry-over.

This year's element of unpredictability was testing the implementation of the vacation policy. The purpose of the policy is to ensure that employees are taking vacation, returning refreshed, and that someone else is cross-trained in the role. KPMG also highlighted the steps taken to minimize cyber-risks, including the purchase of cyber insurance and the launch of a cyber-security awareness program.

N. Allen reviewed the 2018-2019 audited financial statements. He thanked P. Onsiong and her team for the comprehensive notes accompanying the financial statements, which are consistent with those of previous years. The university repaid \$6M of long-term debt and incurred \$550,000 of debt related to improvements in the downtown locations. There was \$6.9M of excess revenue over expenses for the fiscal year. There was a total increase of expenses in the amount of \$7.8M over the prior year, which included an increase of \$8.7M in salaries and benefits. P. Onsiong responded to questions from the Board regarding the financial statements.

Upon a motion duly made by N. Allen and seconded by F. Jones, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the consolidated audited financial statements of the university for the year ending March 31, 2019 as presented.

8.2 Internally Restricted Funds

N. Allen presented A&F's recommendation for internally restricted funds. The committee recommended adding an additional \$4.9M to internally restricted funds, of which approximately \$3.8M would be allocated towards the new building and the remainder towards research related activities, student awards, and faculty budget carry-over.

Upon a motion duly made by N. Allen and seconded by K. Kingsbury, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved an Internal Restriction of approximately \$4.9M in the University's net assets.

8.3 Fourth Quarter Financial Reports

At the last committee meeting, P. Onsiong presented the operating analysis for 2018-2019. The university ended the year with a \$5.1M surplus, which is close to what was forecast after the third quarter results. The information provided in the update will likely look familiar, since the Board has been receiving regular updates throughout the year. No changes have been made to the 10-year forecast since last presented.

Project Updates

8.4 New Building

A&F also received an update on the status of the new building project, which is also included in the meeting material. Construction drawings and documentation at 70% progress. Site Plan Approval comments were issued by City Planning and are under review. The Building Permit application is under review with the City planning. Design Assist Tenders (electrical, mechanical, curtain wall, forming and precast) have been awarded. The portables were moved to the staging area in the Founders 2 parking lot. Portable relocation is on track to substantial completion on August 2. Building occupancy in the portables is planned from August 5 – 14, 2019.

Risk, Compliance & Policy

8.5 Annual University Risk Management Report

The committee received the fourth annual University Risk Management Report, which has been included in the Board meeting material. This is an integral part of the university's development of a risk management culture. N. Allen reported that the university continues to make good progress toward the integration of risk into its decision-making and planning processes.

Several of the positive developments in the risk management culture over the period of July 2018 to June 2019 were:

- the President continued to make risk management an important priority by devoting time to it at Senior Leadership Team (SLT) meetings and retreats;
- the university has continued to evolve and develop risk processes and tools, and has engaged in significant training to new risk owners;
- the Risk Management website continues to be improved and represents a valuable source of information and guidance to the community; and
- a list of risk management metrics was finalized in 2018.

The focus in 2019-20 will be on improving the ability to measure risk management activity and presenting succinct, meaningful reports to the senior leadership team and the Board.

In the context of the budgeting process, key decisions are made about what should be funded and what goes unfunded. Risk considerations are included within the strategic planning approach to budgeting. The development of an Insurance Work Plan is an important one, as appropriate insurance coverage is an essential overarching risk mitigation strategy.

A governor commented that risk management is a key area of focus for the Board and that it is an excellent report and he believes the team has made good progress.

8.6 A&F Annual Report

N. Allen expressed thanks to the entire committee and staff, whose participation is integral to help things function smoothly. He reviewed the highlights of the committee's accomplishments over the year. He also identified the committee's priorities for the upcoming year.

9. Investment Committee:

9.1 Quarterly Report

S. Chow delivered the Investment Committee's quarterly report. The performance of the university's portfolio in the last quarter is indicative of the higher volatility levels experienced in 2018. The university's portfolio remains ahead of the benchmark by about 100 basis points. She also discussed the educational session given at the last committee meeting, which focused on the monetary tools utilized by central banks.

9.2 Investment Annual Report

S. Chow thanked the committee for their hard work and commended them on the progress made. She provided an overview of the committee's accomplishments that year. She also discussed the committee's decision to allocate a small percentage of the portfolio to a market neutral fund. She reported that they have only been invested in it for one quarter and it did not pan out how they expected it to. Since it has been too short a time to get a good sense of the product's performance, the committee will continue to monitor it. She confirmed that the portfolio's performance is compared to the S&P benchmark and the committee regularly compares it against the performance of other institutions, as well.

10. Governance Nominations & Human Resources Committee (GNHR) Report

K. Kingsbury delivered the GNHR report in F. Garwe's absence. At the last committee meeting, the committee reviewed the annual Board practices assessment results. The committee was generally pleased with the response rate, as well as the number of governors who used the Board portal to complete the assessment. The committee will be looking to the Board to continue to improve those numbers next year.

The committee reviewed and recommended the proposed 2019-2020 Board schedule. It was based on this year's schedule, which seemed to work for most Board members. By scheduling four meetings for each committee and the Board, the Board is focusing discussions on key matters and making the most of the governors' time.

The committee also received the Annual Report on Student Sexual Violence Policy & Procedures, which was included in the meeting material for information. The report focused on the following key areas:

1. Supports, services and accommodations.
2. Awareness and programming.
3. Reported incidents and complaints.
4. Implementation and effectiveness of the policy.

A tremendous amount of work was done over the past year by the Advisory Committee on Student Sexual Violence Prevention and Support, supported by the equity team in Student Life. The Advisory Committee will continue to advise and assess the university's efforts to oppose sexual violence among students on campus through support, training and education.

GNHR also reviewed and recommended proposed amendments to the university's defined contribution pension plan, which form part of the consent agenda. As part of GNHR's oversight of the university's human resources policies, strategies and plans, the Senior Administration (Pension & Benefits) Sub-Committee (SASC) provides GNHR with recommendations with respect to the operation and administration of the university's defined contribution pension plan. The proposed amendments to the pension plan are pursuant to the 2018-2020 Faculty Association Collective Agreement and the increases to member required pension contribution and the University basic pension contribution rates.

10.1 2019-2020 Board Leadership & Committee Assignments (moved to non-public session)

10.2 Annual Board Practices Assessment Results

C. Foy presented this year's annual Board practices assessment results. Board members were encouraged members to become familiar with and use the new portal. The Board Chair congratulated the staff on the positive trends on the assessment results.

10.3 GNHR Annual Report

K. Kingsbury reviewed key items from the committee's annual report. The committee had a busy work plan, including the presidential transition, Board recruitment process, and new by-laws coming into effect on September 1, 2018.

The committee's focus for 2019-2020 will include:

- continued implementation of the new By-laws;
- continued improvement of Board engagement;
- continued focus on Board meeting efficiency, materials preparation & professional development;
- monitoring implementation & use of Board portal;
- developing a strategic succession plan;
- continued incorporation of technology into Board meeting participation & educational material;

- developing a Committee Assessment Form; and
- continuing to strengthen bicameral governance.

11 Strategy & Planning Committee Report (S&P)

11.1 Alumni Engagement Strategy

S. McGovern introduced Angelo Pineda, the Alumni Association President. He delivered a presentation to the Board on the Alumni Association's engagement strategy. He responded to questions from the Board.

(D. Allingham arrived 10:05 a.m.)

11.2 Annual S&P Report

L. Zucker delivered the annual S&P report in T. Koseck's absence. She thanked A. Pineda for his presentation and remarked that it was very interesting and informative for the Board. She noted that the committee is composed almost entirely of new Board members. She discussed the key accomplishments of the committee and the committee's focus for the next year.

L. Zucker ended by thanking the management team and staff for their work and T. Koseck for his support and leadership.

12. Consent Agenda:

Upon a motion duly made by L. Zucker and seconded by K. Chan, the following items on the Consent Agenda were approved, as presented:

- (a) Undergraduate Studies Committee Terms of Reference
- (b) Dissolution of Admissions & Scholarships Committee
- (c) Change of Gender Policy (Student)
- (d) Pension Plan Amendments
- (e) 2019-2020 Board Schedule
- (f) Appointment of Board Secretary 2019-2020
- (g) Minutes of Public Session of Board Meeting of April 24, 2019
- (h) Minutes of Public Session of Audit & Finance Committee Meeting of April 17, 2019
- (i) Minutes of Public Session of Governance, Nominations & Human Resources Committee Meeting of March 28, 2019

13. Information Items:

- (a) Institutional Quality Assurance Process Policy Documents
- (b) Annual Policy Review & Compliance Update
- (c) Annual Insurance Report
- (d) Annual CURIE Report
- (e) ACE Enhancement Project
- (f) Campus Recreation & Wellness Centre Expansion
- (g) AVIN
- (h) Annual Report on Student Sexual Violence Policy & Procedures
- (i) Annual Board Chair Report

14. Other Business

K. Chan shared that Facebook hosted a small business event in Oshawa in late May, which had approximately 400 small businesses in attendance. S. McGovern attended on behalf of the university and addressed the attendees. K. Chan thanked S. McGovern and her team. S. McGovern advised that they have received several follow ups from individuals who attended the event.

There was also a discussion as to when the new branded swag will be available. S. McGovern advised it would be available in September. The Chair thanked N. Allen for filling in as Chair during his absence. The Chair also remarked that he attended all of the convocation events and he was very impressed. He thanked the organizing team, as everything appeared to go completely smoothly. He also thanked C. Foy and B. Dinwoodie for all of their support throughout the year.

15. Adjournment

Upon a motion duly made, the public session adjourned at 10:20 a.m.

Becky Dinwoodie, Secretary



BOARD OF GOVERNORS
AUDIT & FINANCE COMMITTEE

MINUTES OF THE MEETING OF JUNE 10, 2019
PUBLIC SESSION
1:00 p.m. – 2:45 p.m., ERC 3023

Attendees: Nigel Allen (Chair), Stephanie Chow (*via teleconference*), Dale MacMillan (*via teleconference*), Steven Murphy (*via teleconference*), Dietmar Reiner

Staff: Becky Dinwoodie, Cheryl Foy, Doug Holdway, Brad MacIsaac, Pamela Onsiong

Regrets: Doug Allingham

Guests: Bobbi-Jean White and Reagen Travers (KPMG)

1. Call to Order

The Chair called the meeting to order at 1:05 p.m.

2. Agenda

As the President was delayed in another meeting, it was suggested that his remarks be deferred until later in the meeting. S. Chow also requested the removal of agenda item 20.1 (Amendment to Statement of Investment Policies & Asset Class Management Strategy).

Upon a motion duly made by D. Reiner and seconded by S. Chow, the Agenda was approved as amended.

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Chair's Remarks

The Chair welcomed B. White from KPMG to the meeting. He noted it was the last committee meeting of the year and he thanked the committee members for all of their work this year.

5. President's Remarks (deferred)

6. Finance

6.1 Fourth Quarter Financial Reports

P. Onsiong reviewed the fourth quarter financial reports with the committee and responded to the committee's questions. She noted the year-end surplus, after capital expenses, debenture and lease payments, is \$5.1m against a \$4.7m year end forecast surplus reported at the end of the third quarter for a net upside of \$0.4m. She also advised that the surplus funds are available for restriction.

6.2 New Accounting Standards

P. Onsiong provided an overview of the new accounting standards, which are effective for annual periods beginning on or after January 1, 2019. Accordingly, the University will be required to apply the new standard for the first time in its annual financial statements for the year ending March 31, 2020 and hence apply for transactions starting April 1, 2019. Although earlier application is permitted, the university will adopt the standard on a prospective basis. The new standard requires that the cost of a tangible capital asset made up of significant separable component parts be allocated to the component parts when practicable and when estimates can be made of the lives of the separate components. Each component is then amortized separately on a straight-line basis over the estimated useful life of that component. P. Onsiong used the new building project as an example. The result of componentization is an acceleration of amortization expense for those components whose useful lives have now been recognized to be less than the useful life of the building exterior.

P. Onsiong responded to the committee's questions. She clarified that the new standard will apply only to new construction and not retroactively. There was also a discussion regarding how "practicable" is defined. The new building project would meet the definition of "practicable" as the project manager will work with the construction company to separate out the components. In terms of equipment, the university does not really have the expertise in-house to isolate equipment value. The shorter lifespan of equipment in the institution would be captured (included as a 10-year amortization in the financial statements).

(S. Murphy joined at 1:20 p.m.)

7. Investment Committee Oversight Quarterly Report

S. Chow delivered the Investment Committee's quarterly report. She informed the committee that the university's endowment investment balance was sitting at just under \$27M and it performed just slightly behind benchmark in the last quarter. For the full cycle of 3-5 years, the portfolio performed over 100 basis points over the benchmark (+1.16 and +1.28). PH&N also provided the committee with an educational session on the central bank monetary tools used to help stimulate the economy.

5. President's Remarks

The President thanked the committee members for their participation in the recent Board retreat. He also noted that many governors attended this year's Convocation ceremonies and thanked everyone for their involvement.

8. Project Updates

8.1 New Building

B. MacIsaac provided an update on the progress of the new building project, a report of which was included in the meeting material. He also updated the committee on the status of the plumbers and sheet metal workers strikes.

8.2 ACE Enhancement

B. MacIsaac updated the committee on the status of the ACE enhancement project. The ACE facility will be down for approximately three weeks; in order to minimize the impact on the budget, the down time was accounted for in the budget. The project is tracking to planned completion:

- building extension – 31 July 2019
- equipment integration – 30 September 2020

8.3 Campus Recreation & Wellness Centre (CRWC) Expansion

B. MacIsaac delivered an update and discussed the CRWC expansion project. He explained the \$250,000 difference between the estimated cost and the bids coming in. He confirmed that this has been accounted for in the 2019-2020 budget.

8.4 AVIN

D. Holdway provided an update on the AVIN project, a presentation of which was included in the meeting material.

8.5 Land Exchange

C. Foy provided an update on the land exchange with the City of Oshawa. She confirmed that the archaeological reports are complete and the valuation report is almost finished. Upon finalization of the valuation, the land exchange can proceed. The goal is to bring the final agreement to the Board for approval at the meeting on June 26.

9. Risk, Compliance & Policy

9.1 Annual Risk Management Report

C. Foy summarized the development of the form of the Annual Risk Management Report, which was first presented to the Board in 2017. The goal is to develop a risk culture so that risk is considered during the decision-making process. She reviewed the key sections of the report. A suggestion was made to expand the section on metrics. C. Foy responded that the next steps include an increased emphasis on metrics. This year, the focus was on strategic risks and creating a risk tool. A number of reporting tools have been created. C. Foy commented that good progress has been made on strategic risks, but there remains more work to do on clarifying them - it remains a draft list of strategic risks.

C. Foy reviewed the focus for 2019-2020, which includes continuing to implement risk management (training risk owners); insurance implementation (educating university community); and determining the risk appetite of the university. She responded to questions from the committee

She clarified that they would be aligning the strategic risks with the university's strategic objectives. She also informed the committee that a new Copyright and Compliance Officer was recently hired and one of their priorities is to understand controlled goods on campus and the university's related obligations. C. Foy also discussed the work completed on developing the Business Continuity Management (BCM) Policy. They are developing a BCM work plan for 2019-2020 and regular updates will be on A&F's work plan.

There was a discussion regarding the assignment of risks to the President. C. Foy advised that the organizational reality is that the director of ACE reports directly to the President. S. Murphy added that he is aware that it is an anomalous reporting structure, which might change upon the arrival of the VP Research and Innovation. It is preferable for the President not to be identified as a risk owner.

9.2 Annual Policy Review & Compliance Update

C. Foy delivered the annual policy review and compliance update. She advised that during the Policy Framework review, she committed to providing the committee with an annual update on the types of policies that are being developed, revised, and approved. She confirmed that the list of policy activity has been updated since the last committee meeting.

9.3 Annual Insurance Report

C. Foy provided an overview of the university's insurance program. She reviewed the insurance coverage for the university, which was included in the meeting material. She responded to questions from the committee. She advised that the university puts our insurers on notice approximately 6-10 times per year of potential claims. Property claims have been the primary source of claims. The university submits approximately 1-2 property claims per year. There was also a discussion regarding the university's cyberliability coverage.

10. Audit & Finance Committee Annual Board Report 2018-2019

C. Foy presented the draft annual report to the committee for review and comment before being presented to the Board. A comment was made on the amount of work that was accomplished this year. There was a discussion regarding whether it would be reasonable to get everything done over the next year.

11. Consent Agenda:

Upon a motion duly made by D. Reiner and seconded by S. Chow, the Audit and Finance Committee approved the following items on the Consent Agenda:

11.1 Gender Change Policy

11.2 Minutes of Public Session of Meeting of April 15, 2019

12. Other Business

D. Reiner shared OPG's recent announcement that their corporate campus will be moving to Clarington, with construction to start next year. The target for opening the campus is 2024.

13. Adjournment

Upon a motion duly made by D. Reiner and seconded by S. Chow, the public session adjourned at 2:29 p.m.

Becky Dinwoodie, Secretary

DRAFT



BOARD OF GOVERNORS
Governance, Nominations & Human Resources
Committee

Public Session Minutes for the Meeting of May 16, 2019
2:00 p.m. to 3:15 p.m., ERC 3023

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

Staff: Jamie Bruno, Cheryl Foy, Olivia Petrie

1. Call to Order

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

2. Agenda

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

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Approval of Minutes of Public Session of Meeting of March 28, 2019

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

5. Chair's Remarks

The Chair noted that it was the last meeting of the year. He thanked the committee members for their work and service during the year. He noted that he looked forward to continuing to work with the members in the coming year.

6. President's Remarks

The President thanked the Board Chair for arranging and leading the joint Durham College and Ontario Tech Board meeting. He noted that he felt it was very valuable to the members of both boards in respect of laying the groundwork for new initiatives and for promoting an understanding of the dynamics and challenges associated with sharing a campus. The President reported on a recent visit to the Bruce Nuclear facility, which included well attended alumni event (approximately 100 attendees). He reported universally positive feedback from the attendees on the new branding. The Bruce Power visit was successful from a relationship-building and partnership perspective.

The President reported that Ontario Tech signed on to the federal government's Dimensions charter in support of making the research enterprise more equitable, diverse,

and inclusive. He provided an overview of the Athena Swan program, which is at the heart of the Dimensions initiative. The President discussed the ways in which the federal government is advancing its commitment to equity, diversity and inclusion (EDI). Ontario Tech was one of the first universities to sign on and agree to be evaluated. The President advised that he sees this as a quality improvement initiative and he looks forward to our institution being a leader in EDI. He also announced a new SSHRC grant to build institutional capacity in EDI. This will include hiring a new resource to support work in this area.

The President responded to questions and comments from the committee related to the hiring of more diverse researchers and tying the brand to the EDI commitment. He noted that change takes years and that there has been success with programs like the Dimensions initiative in Australia, but less so in the United States. The President reaffirmed his commitment to technology with a conscience, to which, EDI is fundamental.

7 Governance:

7.1 Board Engagement

(a) Annual Board Practices Assessment Results

C. Foy presented the 2018-2019 Board Practices Assessment Results. The Committee questioned having a strategic discussion at every meeting. It was suggested that the Board reports be more focused and concise. It might also be helpful to understand governors' concerns about agenda items ahead of time. The committee agreed that Board meetings are strategic. A comment was made regarding the stratification of responses. The committee asked that Becky Dinwoodie recirculate the assessment to those governors who had not yet responded.

7.2 Annual GNHR Board Report

C. Foy reviewed the draft Annual GNHR Report and responded to the committee's questions.

7.3 Board Schedule 2019-2020

Upon a motion duly made by L. Edgar and seconded by L. Elliott, the Governance, Nominations and Human Resources Committee recommended the 2019-2020 Board Schedule for approval by the Board of Governors.

Policy:

7.4 Annual Report on Student Sexual Violence Policy & Procedures

O. Petrie presented the Annual Report. She acknowledged the great work of the Advisory Committee on Sexual Violence (ACSV) in collaboration with the Student Engagement and Equity team in Student Life. Every year, the university provides a report to the Ministry. This report is designed to meet the Ministry's reporting requirements. O. Petrie provided an overview of the resources and supports in place. She responded to the committee's comments and questions. She noted that the numbers were roughly the same as last year. O. Petrie reported that there has been a lot of activity driven by the student members of the advisory committee to raise awareness. All of that activity

informed the updated policy the Board approved last month. O. Petrie reported on other activities of the ACSV over the past year. The work accomplished by the committee this year built the foundation for an action plan for next year. O. Petrie discussed the RISE initiative – 66 students participated and they are looking to increase that number next year. She also advised that the MTCU mandates the completion of a survey and the survey results will help inform future programming. O. Petrie responded to questions from the Committee members.

The Chair acknowledged O. Petrie and her team for all of their hard work.

7.5 Review of the Policy on the Recognition of Student Organizations

O. Petrie explained that the Policy on the Recognition of Student Organizations was up for its regular 3-year review. She explained how the policy interconnects with different agreements and policies. O. Petrie reviewed the main issues arising as a result of the review, namely:

- a) some student groups have formed outside of this policy, specifically under the auspices of a Faculty or department rather than through an affiliation with the university's Student Union;
- b) the university does not recognize fraternities and sororities under the policy, yet it has been reported these groups have sometimes been able to book space in the same way as other recognized student groups; and
- c) the policy refers to the Procedures for Student Association Recognition, which have yet to be developed - work is underway to have these procedures in place for September 2019.

C. Foy and O. Petrie responded to comments and questions from the committee.

8 Human Resources

8.1 Pension Plan Amendments

J. Bruno presented the proposed Pension Plan amendments. He confirmed that the proposed changes to the pension plan arise out of the Collective Agreement with the Faculty Association. He explained the process by which the pension plan text will be amended following Board approval.

Upon a motion duly made by K. Kingsbury and seconded by L. Elliott, pursuant to the recommendation of the Senior Administration (Pension & Benefits) sub-committee, the Governance, Nominations & Human Resources Committee recommended approval of the following resolution by the Board of Governors:

WHEREAS the University of Ontario Institute of Technology (the "University") established the University of Ontario Institute of Technology Pension Plan, bearing registration number 1087808 (the "Plan");

AND WHEREAS the University has reserved the right to amend the Plan pursuant to Section 9.01 thereof;

AND WHEREAS, the collective agreement between the University of Ontario Institute of

Technology (UOIT) and the UOIT Faculty Association (the "Faculty Association") was ratified effective March 4, 2019 (the "2018-2020 Collective Agreement");

AND WHEREAS, pursuant to the 2018-2020 Collective Agreement, both Member and the University contributions will increase effective July 1, 2019 and again effective July 1, 2020 in respect of Faculty Association members who are eligible to participate in the University of Ontario Institute of Technology defined contribution pension plan (UOIT DCP) as at the relevant time;

AND WHEREAS the Governance, Nominations and Human Resources Committee has recommended that the amendments set out herein be adopted in respect of the Plan. NOW THEREFORE BE IT RESOLVED THAT, the Plan be amended as follows effective July 1, 2019:

1. *By adding the following as Section 2.08.1:*

"2.08.1 Faculty Association Member means a Member who is a member of the University of Ontario Institute of Technology Faculty Association as at the date a determination is required."

2. *By deleting Section 4.01(a) and replacing it with the following:*

"(a) Required Contributions

- (i) 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;*
- (ii) Effective July 1, 2020, a Faculty Association Member shall contribute an amount equal to 3.75% of his or her Earnings to the Plan; and*
- (iii) a Member who is not a member of the Faculty Association Member shall contribute an amount equal to 3% of his or her Earnings to the Plan.*

3. *By deleting 4.03(a) and replacing it with the following:*

"(a) Basic Contributions

- (i) 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;*
- (ii) Effective July 1, 2020, the University shall contribute an amount equal to 7.5% of the Earnings of each Faculty Association Member; and*
- (iii) the University shall contribute an amount equal to 6% of the Earnings of each Member who is not a member of the Faculty Association Member."*

4. *The Chief Financial Officer of the University is authorized to sign and to file all related documents with the applicable federal and provincial regulatory authorities, including the making of any further Plan amendments as may be necessary or required to obtain and maintain such federal and provincial registrations.*

9. **Other Business**

10. Adjournment

There being no other business, upon a motion duly made by D. Allingham and seconded by L. Edgar, the public session of the meeting adjourned at 3:37 p.m.

Cheryl Foy, Secretary

DRAFT



**BOARD OF GOVERNORS
Strategy & Planning Committee**

**Minutes of the Public Meeting of Monday, April 1, 2019
2:00 p.m. to 3:45 p.m., ERC 3023**

Attendees: Thorsten Koseck (Chair), Doug Allingham, Kevin Chan (*videoconference*), Steven Murphy, Jessica Nguyen, Jim Wilson, Lynne Zucker (*videoconference*)

Staff: Robert Bailey, Becky Dinwoodie, Craig Elliott, Cheryl Foy, Brad MacIsaac, Pamela Onsiong, Susan McGovern

Guests: Mike Eklund, Christine McLaughlin

Regrets: Liquan Cao

1. Call to Order

The Chair called the meeting to order at 2:02 p.m.

2. Agenda

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

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Minutes of Public Session of Meeting of November 1, 2018

Upon a motion duly made by D. Allingham and seconded by J. Nguyen, the minutes were approved as presented.

5. Chair's Remarks

The Chair kept his remarks very brief.

6. President's Remarks

COU/UC Strategic Initiatives

The President discussed government positioning and the importance of highlighting the university's role with respect to jobs and reskilling people. He also discussed how the university's strategic priorities are guiding decision-making at the university, including the recommendation to proceed with the new building project and the rebranding. He

discussed the budget development process in the context of the government's 10% cut to tuition. Budget holders were asked to assess their budgets through a strategic lens and to propose reductions. Rather than implementing across the board budget reductions, reductions are being recommended based on the university's strategic priorities. The President emphasized that strategy is driving decision-making and used the new building project as an example. The new building will provide more space and a home for our students. Further, deferring the construction would not result in a gain to our bottom line.

The President discussed the contingency planning being done to help support the university's student union (USU) and clubs/societies in light of the new student ancillary fees opt-out. The university must work strategically with stakeholders to create a good culture on campus. The focus will be on educating incoming students on the value of the services and activities funded by the ancillary fees. He confirmed that 100% of the opt-out affects the USU. J. Nguyen discussed the educational efforts that will be made to inform students of the value of opting-in (e.g. IBegin, social/cultural programming, etc.). Students have until mid-September to decide whether to opt out, which provides the USU with time to connect with incoming students and demonstrate the value of the ancillary fees.

7. Strategy

7.1 Endowment Disbursement Report

C. Elliott reviewed the key aspects of the endowment disbursement report. He explained that the university is obligated to disburse at least 3-4% of the principal value of the endowment annually. The Investment and Audit & Finance Committees have recommended that the university disburse up to \$600,000 from endowments for student awards in 2019-2020. C. Elliott responded to questions from the committee. He clarified that there are no operational risks associated with increasing the amount available for disbursement.

Upon a motion duly made by T. Koseck and seconded by J. Nguyen, pursuant to the recommendations of the Investment Committee and Audit & Finance Committee, the Strategy & Planning Committee recommended the disbursement of up to \$600,000 from Endowment Funds for distribution as student awards in 2019-20 for approval by the Board of Governors.

7.2 Student Success

B. MacIsaac delivered the presentation on student success, which was also included in the meeting material. He commented that changes that are implemented to improve student success are never made in isolation; therefore, it is difficult to narrow down which factors are more effective than others. The SMA target was 80%, which was achieved, but internally we have a stretch goal of 82-84% over the next couple of years. There was a discussion as to whether consideration has been given to increasing admission averages. B. MacIsaac advised that for certain programs (nursing, med lab, engineering), the university has higher admission averages. While there is evidence that over 85% entrance average tend to persist more, we are first focused on being an access institution.

B. MacIsaac also reviewed the initiatives taken outside of the classroom to improve student success, which focus on creating connections (academic advisors, learning support centre, better communicating the services available, etc.). He also discussed the projects that are underway financed through the Student Success Innovation Fund. He noted some interesting data indicating a number of ways our students do not follow the normal trends with respect to persistence. B. MacIsaac responded to questions from the committee. He addressed the downward trend in the retention rates for the Faculty of Energy Systems and Nuclear Science and Faculty of Social Science and Humanities. Over 70% of students who do not return do so because of their GPA, not because they choose to leave.

7.3 Visual Identity Branding

S. Murphy discussed the university's rebrand and highlighted the extensive consultation process that was conducted. It was a big team effort and the official launch took place on March 27. The reception has been positive. The new brand rollout will be slow and methodical. The new brand has received local and national media, with the launch fortuitously coinciding with S. Murphy's appearance on The Agenda with Steve Paikin. From the alumni perspective, people want reassurance that the university's official name has not changed. The value of a degree from the university will increase with increased awareness and factors associated with the brand. S. Murphy emphasized that a brand in and of itself does little without a story. The new brand will make it much easier to tell our story and people will more easily remember the university.

7.4 Strategic Discussion: Living the Brand

S. Murphy introduced the strategic discussion. It is incumbent upon everyone to "live the brand". It is essential for people to promote the university itself to ensure there is always content supporting the brand. S. McGovern added that a lot of work will be done between now and September to update the physical campus, including new signage. There will be a new e-store for faculty and staff (business cards, new products) available at Brand Central. There was also a discussion about what incoming students will be receiving in September with the new brand on it. S. McGovern confirmed that there will be new branded products in the stores by September, but it will take several months to replenish the Nike, Adidas, and Under Armour apparel. Committee members shared positive comments on the rebrand launch and update to the website. The Board Chair commended J. Nguyen for delivering an excellent speech at the launch event as USU President.

8. Planning

8.1 Board Retreat Planning

C. Foy reviewed the discussion from the last meeting regarding the retreat. The committee expressed support for focusing the retreat on design-thinking and how to apply it to a strategic problem. Of the proposed retreat topics, the committee supported focusing the retreat on the future of Durham Region and the university. This broader theme would tie in with several other topics, such as continuing education and the needs of industry, building partnerships, and funding. This is also a timely subject for the Board since the Board Chair and the President have recently been involved in a number of discussions about the future of Durham.

9. Other Business

10. Adjournment

There being no other business, upon a motion duly made by D. Allingham and seconded by J. Wilson, the public session of the meeting adjourned at 3:06 p.m.

Becky Dinwoodie, Secretary

DRAFT



**BOARD OF GOVERNORS
Investment Committee**

**Minutes of the Public Session of the Meeting of August 22, 2019
10:00 a.m. – 10:25 a.m.
North Campus, ERC 3023**

Members: Stephanie Chow (Chair) (videoconference), Doug Allingham, Ferdinand Jones (videoconference), Thorsten Koseck, Mark Neville, Maria Saros, Steven Murphy

Staff: Becky Dinwoodie, Cheryl Foy, Pamela Onsiong

Guests: Leila Fiouzi, Connor Glassco, and Taylor Woodward (PH&N)

1. Call to Order

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

2. Agenda

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

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Chair's Remarks

The Chair welcomed the committee to the last meeting of the Board year. She thanked the committee for the great work accomplished this year, particularly the recommendation of the disbursement of \$600,000 from endowed funds to distribute as student awards and the update to the Statement of Investment Policies.

5. Approval of Minutes of Public Session of Meeting of June 3, 2019

Upon a motion duly made by T. Koseck and seconded by F. Jones, the Minutes were approved as presented.

6. Investment Review

6.1 First Quarter Investment Review

L. Fiouzi reviewed the portfolio's first quarter results. The portfolio performed behind benchmark 1.4% over the past year due to the performance of the market neutral equities. L. Fiouzi also reviewed the preliminary results of the next quarter. She advised the being slightly underweight in Canadian equities has benefitted the portfolio. She

discussed the reasons why RBC PH&N is not currently investing in the cannabis market. The goal is to not sacrifice long term return for short term benefits. PH&N will continue to examine opportunities to invest in cannabis as the market continues to evolve.

7. Other Business

8. Adjournment

There being no other business, upon a motion duly made by T. Koseck and seconded by F. Jones, the meeting adjourned at 10:12 a.m.

Becky Dinwoodie, Secretary

DRAFT

COMMITTEE REPORT

SESSION:

Public

☐☒

Non-Public

☐**ACTION REQUESTED:**

Decision

Discussion/Direction
Information☐☒Financial Impact ☐ Yes ☒ NoIncluded in Budget ☐ Yes ☐ No**TO:** Board of Governors**DATE:** November 28, 2019**FROM:** Audit & Finance Committee**SLT LEAD:** Cheryl Foy, University Secretary and General Counsel**SUBJECT:** Compliance, Risk and Policy 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 Secretariat.

Compliance Update

- The university took the next step in the development of a compliance framework by hiring a compliance officer who started in March 2019.
- The compliance program is intended to assess and support the university's compliance with laws, regulations, policies, standard operating procedures and best practices and will further support and facilitate good governance and ethics.

- Broadly, there are five major areas of compliance focus that have been identified thus far – Research, Health & Safety, Privacy & Information Management, Financial and Employment/Human Rights.

2019/2020 PRIORITIES:

- The compliance program will focus on 4 priorities for the 2019/2020 academic year, including:
 - **Compliance Manual** – Developing a manual that contains the policies that address compliance risks that the university is exposed to and also refers to specific legislation, rules and regulations;
 - **Trade Compliance** – Conducting a compliance review related to the university's compliance with Controlled Goods legislation and updating existing policies, procedures and guidance (as required);
 - **Copyright Compliance** – Working with stakeholders to review and update existing copyright policies and procedures (as required); further develop a copyright compliance framework with stakeholders that includes training, compliance monitoring and communication to university members.
 - **Occupational Health & Safety** – Review the existing OHS framework; identify gaps in policy and procedures and develop a compliance plan for addressing gaps.

Sticky Campus

- “Compliance Builds Trust” and trust is earned through actions. A compliance program is an internal checks and balances system that demands a consistent approach to compliance risks while maintaining high ethical standards. This is achieved by the university complying with applicable laws and its own policies to create a positive impact and welcoming environment to all within the university community. This will, in turn, continue to make Ontario Tech a safe, diverse, and “sticky” place.
- This report considers the university's compliance obligations under various legislation including:
 - *Accessibility for Ontarians With Disabilities Act*, 2005, SO 2005, c 11
 - *Controlled Goods Regulations*, SOR/2001-32
 - *Copyright Act*, RSC 1985, c C-42
 - *Defence Production Act*, R.S.C. 1985, c D-1
 - *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31
 - *Integrated Accessibility Standards*, O Reg 191/11
 - *Occupational Health and Safety Act*, RSO 1990, c O.1
 - *Rowan's Law (Concussion Safety)*, 2018, SO 2018, c 1

Risk Management Update

- The University is currently in the process of finalizing the Interim Annual Risk Register Review with the Office of Risk Management. The Operational Risk Owners have been engaged in conversation and progress has been made in connection to mapping the Operational Risks to the University's Strategic Risks. Upon conclusion of the Interim Annual Risk Register Review, SLT will review and

consider refining and clarifying the Strategic Risk definitions, and establish their alignment to the President's five strategic pillars.

- The Office of Risk Management continues to work closely with the University Risk Owners, facilitating conversations between Operational Risk Owners who carry shared oversight of the mitigation and treatment of institutional risks.
- An update to the final Interim Annual Risk Register Review will be shared at the next committee meeting.
- Progress has also been made in the development of additional tools and procedures to support the Risk Owners in their risk work. The Office of the President recently approved the following three risk management directives:
 - Air Vehicle Directive
 - Field Trip Directive
 - University-Hosted Event Directive
- Risk Management is currently developing an instruction presentation to provide awareness and guidance of these directives to Risk Owners and their operations.

Policy Update

- The Secretariat continues to support and facilitate a significant amount of policy work as the university community strives for clarity and efficiency. The cross-functional Policy Advisory Committee led by the Secretariat meets regularly to ensure appropriate consultation and to oversee policy development and prioritization of policies. The attached spreadsheet provides an update on the university's policy instruments in development under the Policy Framework. The Policy and Compliance Office provides support to key policy work to ensure legislative compliance. The Office also advises policy leads on steps to take to ensure compliance with the Policy Framework.

Attachments:

1. **Policy Spreadsheet (Public session)**
2. **Confidential Legal and Compliance Update (For discussion in Non-public session)**

SUPPORTING REFERENCE MATERIALS:

- **Sample Internal Privacy Breach Report Form**
- **Sample Privacy Risk Mitigation Form**
- **2019 AODA Compliance Report**

Organization category	Designated Public Sector	Number of employees range	50+
Filing organization legal name	University of Ontario Institute of Technology		
Filing organization business number (BN9)	859248049		

Fields marked with an asterisk (*) are mandatory.

B. Understand your accessibility requirements

Before you begin your report, you can learn about your accessibility requirements at ontario.ca/accessibility

Additional accessibility requirements apply if you are:

- [a library board](#)
- [a producer of education material \(e.g. textbooks\)](#)
- [an education institution \(e.g. school board, college, university or school\)](#)
- [a municipality](#)

C. Accessibility compliance report questions

Instructions

Please answer each of the following compliance questions. Use the Comments box if you wish to comment on any response.

If you need help with a specific question, click the help links which will open in a new browser window. Use the link on the left to view the relevant AODA regulations and the link on the right to view relevant accessibility information resources.

Foundation requirements

1. Does your organization have written accessibility policies and a statement of commitment? *	<input type="radio"/> Yes	<input type="radio"/> No
Read O. Reg. 191/11 s. 3: Establishment of accessibility policies	Learn more about your requirements for question 1	
Comments for question 1		
2. Has your organization established, implemented and maintained a multi-year accessibility plan and posted it on your organization's website? *	<input type="radio"/> Yes	<input type="radio"/> No
Read O. Reg. 191/11 s. 4: Accessibility plans	Learn more about your requirements for question 2	
Comments for question 2		
3. Has your organization completed a review of its progress implementing the strategy outlined in its accessibility plan and documented the results in an annual status report posted on the organization's website? *	<input type="radio"/> Yes	<input type="radio"/> No
Read O. Reg. 191/11 s. 4(1), 4(3): Accessibility plans	Learn more about your requirements for question 3	
Comments for question 3		
4. Did your organization consult with people with disabilities when establishing, reviewing and updating its multi-year accessibility plan? *	<input type="radio"/> Yes	<input type="radio"/> No
Read O. Reg. 191/11 s. 4(2): Accessibility plans	Learn more about your requirements for question 4	
Comments for question 4		

5. Does your organization provide the appropriate training on the Integrated Accessibility Standards Regulation and the Human Rights Code as it pertains to persons with disabilities? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 7: Training](#) [Learn more about your requirements for question 5](#)

Comments for question 5

6. Has your organization established and documented a process to receive and respond to feedback on how its goods or services are provided to persons with disabilities, including actions that your organization will take when a complaint is received? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 80.50: Feedback process required](#) [Learn more about your requirements for question 6](#)

Comments for question 6

7. Does your organization ensure that its feedback processes are accessible to persons with disabilities by providing or arranging accessible formats or communication supports, upon request, and do you notify the public of this accessible feedback policy? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 11: Feedback](#) [Learn more about your requirements for question 7](#)

Comments for question 7

Information and communications

8. Does your organization have a process to provide accessible formats and communication supports for persons with disabilities in a timely manner and at no more than the cost for other persons who ask for the same information, and do you notify the public of this accessible information policy? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 12: Accessible formats and communications supports](#) [Learn more about your requirements for question 8](#)

Comments for question 8

Employment

9. Does your organization notify its employees and the public about the availability of accommodations in its recruitment process? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 22-24: Recruitment](#) [Learn more about your requirements for question 9](#)

Comments for question 9

10. Does your organization notify successful applicants of its policies for accommodating employees with disabilities during offers of employment? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 24: Notice to successful applicants](#) [Learn more about your requirements for question 10](#)

Comments for question 10

11. Does your organization develop and have in place a written process for the development of documented individual accommodation plans for employees with disabilities? * ☐ Yes ☐ No

[Read O. Reg. 191/11 s. 28: Documented individual accommodation plans](#) [Learn more about your requirements for question 11](#)

Comments for question 11

Transportation

12. Does your organization provide transportation services? *
(If Yes, you will be required to answer an additional question.)

☐ Yes ☐ No

[Read O. Reg. 191/11 Part IV: Transportation standards](#)

[Learn more about your requirements for question 12](#)

- 12.a. Does your organization conduct employee and volunteer accessibility training on the safe use of accessibility equipment and features of your transportation vehicles? *

☐ Yes ☐ No

[Read O. Reg. 191/11 s. 36: Accessibility training](#)

[Learn more about your requirements for question 12.a](#)

Comments for
question 12.a

Design of public spaces

13. Since your organization last reported on its accessibility compliance, has your organization constructed new or redeveloped existing off-street parking facilities that it intends to maintain? *
(If Yes, you will be required to answer an additional question.)

☐ Yes ☐ No

[Read O. Reg. 101/11 Part IV.1: Design of public spaces standards](#)

[Learn more about your requirements for question 13](#)

- 13.a. When constructing new or redeveloping off-street parking facilities that your organization intends to maintain, does it ensure that the off-street parking facilities meet the accessibility requirements as outlined in sections 80.32 – 80.37 of the IASR? *

☐ Yes ☐ No

[Read O. Reg. 80.32-37: Accessible parking](#)

[Learn more about your requirements for question 13.a](#)

Comments for
question 13.a

-
14. Since your organization last reported on accessibility compliance, has your organization constructed new or redeveloped existing outdoor public spaces that it intends to maintain? *
(If Yes, you will be required to answer additional questions.)

☐ Yes ☐ No

[Read O. Reg. 191/11 Part IV.1: Design of public spaces standards](#)

[Learn more about your requirements for question 14](#)

- 14.a. When constructing new or redeveloping existing outdoor play spaces, did your organization consult with the public and persons with disabilities on the needs of children and caregivers, and if you represent a municipality did your organization consult with the municipal advisory committee where one was established as outlined in s. 80.19 of the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 s. 80.19: Outdoor play spaces](#)

[Learn more about your requirements for question 14.a](#)

Comments for
question 14.a

- 14.b. Does your organization's multi-year accessibility plan include procedures for preventative and emergency maintenance of the accessible elements in public spaces, and for dealing with temporary disruptions when accessible elements required under the Integrated Accessibility Standards Regulations Part IV are not in working order? *

☐ Yes ☐ No

[Read O. Reg. 191/11 s. 80.44: Maintenance of accessible elements](#)

[Learn more about your requirements for question 14.b](#)

Comments for
question 14.b

Customer service

15. In your policies, practices and procedures, does your organization permit persons with disabilities to keep their service animals with them on the parts of your premises that are open to the public or other third parties, except where the animal is excluded by law? If excluded by law, does your organization have alternate ways for people with service animals to access and use your goods, services or facilities?

☐ Yes ☐ No

[Read O. Reg. 191/11 s. 80.47\(1-3\): Use of service animals and support persons](#)

[Learn more about your requirements for question 15](#)

Comments for
question 15

General requirements

16. Other than the requirements cited in the above questions, is your organization complying with all applicable requirements for the **information and communications standards** in effect under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 Part II: Information and communications standards](#)

[Learn more about your requirements for question 16](#)

Comments for
question 16

17. Other than the requirements cited in the above questions, is your organization complying with all applicable requirements for the **employment standards** in effect under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 Part III: Employment standards](#)

[Learn more about your requirements for question 17](#)

Comments for
question 17

18. Other than the requirements cited in the above questions, is your organization complying with all applicable requirements for the **transportation standards** in effect under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 Part IV: Transportation standards](#)

[Learn more about your requirements for question 18](#)

Comments for
question 18

19. Other than the requirements cited in the above questions, is your organization complying with all applicable requirements for the **design of public spaces standards** in effect under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 101/11 Part IV.1: Design of Public Spaces standards](#)

[Learn more about your requirements for question 19](#)

Comments for
question 19

20. Other than the requirements cited in the above questions, is your organization complying with all applicable requirements for the **customer service standards** under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 Part IV.2: Customer service standards](#)

[Learn more about your requirements for question 20](#)

Comments for
question 20

21. Other than the requirements cited in the above questions, is your organization complying with all general requirements in effect under the Integrated Accessibility Standards Regulation? *

☐ Yes ☐ No

[Read O. Reg. 191/11 Part I: General requirements](#)

[Learn more about your requirements for question 21](#)

Comments for
question 21

Internal Privacy Breach Report Form

To:	File
From:	
CC:	
Date:	
SUBJECT:	

Date of Initial Report		
Name and Department of the Initial Reporter		
Institution Contact who can answer questions about the incident		
Date Incident Occurred		
Date Incident Ended		
Date Incident was Discovered		
DESCRIPTION OF INCIDENT		
<input type="checkbox"/> Loss	<input type="checkbox"/> Unauthorized access	<input type="checkbox"/> Unauthorized disclosure
Total Number of individuals affected		
Discovery of the Incident		
Description of the Incident and the causes:		
Personal Information involved		

Possible harms that may occur as a result of the incident	
Risk of Harm that may occur as a result of the incident	
RISK MITIGATION	
Steps taken to reduce the risk of harm to affected individuals	•
Corrective Actions	•

Privacy Risk Mitigation Report

To:	
From:	
CC:	
Date:	
SUBJECT:	

Date of Initial Report:	
Name and Department of the Initial Reporter:	
Institution Contact who can answer questions about the breach:	
Summary of the Incident and the causes:	
Possible harms that may occur as a result of the incident	
Risk Mitigation:	
Steps taken to reduce the risk of harm to affected individuals:	

Corrective Actions

<i>Immediate Actions</i>	<i>Status</i>
<ul style="list-style-type: none">•	
<ul style="list-style-type: none">•	

Recommendations

1. .

Legal Opinion (FYI only)

External Counsel provided a legal opinion regarding this incident and it is summarized below:

List of Policy Projects in Progress (Updated November 11, 2019)

ACTIVE POLICIES						
Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Course Evaluations Policy	TLC	Susan Forbes	Policy Review	ACD	Initial consultation	OC/ALT/USC/GSC/AC
Accessibility Policy	USGC Office	Shay Babb Sehrish Saeedi	Substantive Amendment	LCG	OC(Oct 8 to Oct22) ALT(Oct16) AC (Oct 22) ALT(Nov 12) A&F-delib(Nov 20) BOG-approv (Nov 28)	PAC/OC/AC/ALT/BC/BOG
Audit policy	ACD	Joe Stokes	New Policy	ACD	OC (Oct 1 to Oct 15) ALT (Nov 12) USGC and GSC (January) AC-approv (February)	OC/ALT/USC/GSC/AC
Procedures for accommodating students with disabilities	Student Accessibility	Heather Leckey	Substantive Amendment-Policy Review	LCG	OC(Oct 8 to Oct22) ALT(Oct16) AC (Oct 22) ALT(Nov 12) A&F-approv(Nov 20)	PAC/OC/AC/ALT/BC
Procedures for accommodating employees with disabilities	USGC Office	Jamie Bruno Beth Partlow	New	LCG	OC(Oct 8 to Oct22) ALT(Oct16) AC (Oct 22) ALT(Nov 12) A&F-approv(Nov 20)	PAC/OC/AC/ALT/BC
Automobile policy and directive	USGC	Jacquelyn Dupuis	New	LCG	PAC(Nov 5) OC (Nov 19 to Dec 3) AC (Nov 26) ALT (Dec 10)	PAC/OC/AC/ALT/BC/BOG

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Fleet directive	USGC	Jacquelyn Dupuis	New	LCG	Drafting/Initial Consultation	PAC/OC/AC/ALT/President
PCI Compliance Policy/ies	UOIT-IT/DC-IT	Reem Ali	New	LCG	OC (Sept 3 to 17) AC (Sept 24) ALT (October 16) A&F(Nov 20) BOG(Nov 28)	PAC/OC/AC/ALT/BC/BOG
IT Security Policy/ies	UOIT-IT/DC-IT	Reem Ali	New / Substantive Amendments	LCG	OC (Sept 3 to 17) AC (Sept 24) ALT (October 16) A&F(Nov 20) BOG(Nov 28)	PAC/OC/AC/ALT/BC/BOG
Acceptable Use of Technology	ITS	Andre Luzhetskyy	Substantive Amendment	LCG	PAC (December) OC (December) AC (January)	PAC/OC/ALT/AC/BC/BOG
Code of Ethics and Conduct and Alleged Breach of Confidentiality Directive	USGC	Andre Luzhetskyy /Becky Dinwoodie	New	LCG	Drafting	PAC/OC/ALT/AC/BC/BOG
Academic Integrity	TLC	Susan Forbes	Substantive Amendment	LCG	Initial consultation	OC /ALT/USC/GSC/AC
Visiting Scholar	International Office	Carolyn Yeo	New	TBD	Initial Consultation	PAC/OC/AC/ALT/President
International Travel for Faculty and Staff Policy	International Office	Carolyn Yeo	New	ADM	Initial Consultation	PAC/OC/AC/ALT/President
Volunteer	USGC	Jacquelyn Dupuis	New Policy	LCG	Draft complete; Initial consultation	PAC/OC/AC/ALT/BC/BOG
Building Naming policy	C&M	Richard Seres	New	ADM	OC(Oct 8 to 29) PAC (Oct 15) AC(Nov 26) ALT(Dec 10, 2019) President-approval	PAC/OC/AC/ALT/President

Policy and Procedures for Philanthropic gifts to University	Advancement Office	Yvonne Stefanin	New	ADM	Initial Consultation	PAC/OC/AC/ALT/President
Workplace Accommodations	USGC	Sehrish Saeedi	New	LCG	Drafting	PAC/OC/ALT/AC/BC/BOG
Concussions policy	Student Accessibility Office	Jacquelyn Dupuis/Jessica Salt	New (under Risk)	ADM	Initial Consultation	PAC/OC/AC/ALT/President
Directive for Memory Aids	OSL	Heather Leckey	New (Directive under Accessibility Policy)	LCG	PAC (Apr 3) AC (Apr 24) ALT (Nov 12)	PAC/OC/AC/ALT/President
Service Animals Procedure	OSL	Heather Leckey	Amendment (Procedure under Accessibility Policy)	LCG	PAC (Sept 10) OC (Oct 22 to Nov 5) AC (Oct 22) ALT(Nov 12) A&F(Nov 20) BOG (Nov 28)	PAC/OC/AC/ALT/BC/BOG
Designated and Controlled Substances policy	USGC	Jacquelyn Dupuis/Maureen Calhoun	New (under Risk)	LCG	Initial Consultation	PAC/OC/AC/ALT/BC/BOG
Procurement policy	Finance	Greg Edwards	Amendment	LCG	Policy Review	PAC/OC/AC/ALT/BC/BOG
Responding to the Death of a Student Procedure	OSL	Olivia Petrie	Substantive Amendment	ADM	OC (Sept 3 to 17) AC (Sept 24) PAC (Oct 15) PAC-delib (Nov 5) ALT-approv (Nov 12)	OC/AC/PAC delib/ALT
Institutional Quality Assurance Process Policy & 4 procedures	CIQE	Nichole Molinaro	Substantive Amendment 4 new Procedures	ACD	USC and GSC for recommendation(Sept) AC-approv (Oct 22) Quality Council-ratification	BC/BOG/OC/USC/GSC/AC
Academic Calendar Migration	SGPS and UGS	Nichole and Kimberley	Mainly Editorial	ACD	USC and GSC for recommendation(Sept)	BC/BOG/OC/USC/GSC/AC

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					AC (Oct 22)	
Animal Care Policy (6 instruments)	Research	Janice Moseley	Substantive Amendment New PI (4 Procedures)	LCG	OC (Apr 26-May10) AC (June 25) ALT (Sept 10) RB (Oct 10) A&F (Feb 19, 2020) BOG (Feb 27, 2020)	OC/ALT/RB/AC/BC/BOG
Research Ethics	Research	Janice Moseley	Substantive Amendment	LCG	PAC Assessment (delayed to next PAC)	PAC/OC/RB/AC/ALT/BC/BOG
Poster	OSL	Olivia Petrie	New	ADM	PAC (Sept 10) OC (Oct 1-28) AC (Oct 22) PAC-delib (Nov 5) ALT-approv (Nov 12)	OC/AC/PAC delib/ALT
Contract Management Policy & Procedures	USGC	Cheryl Foy Melissa Gerrits	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Signing Authority Policy & Procedures & Register	Finance	Craig Elliot	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Intellectual Property	Research	TBD	Amendment	LCG	With Legal Counsel	
Procedures to Investigate & Respond to Allegations of Violence, Sexual Violence, Harassment & Discrimination by Governors & Senior Leaders	USGC	Cheryl Foy	New	LCG	Initial consultation	PAC/OC/AC/ALT/BC
APPROVED POLICIES						
Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Air Vehicle Approval Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	ALT (Sept 10)	PAC/OC/AC/ALT/President

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					President appr. Sept 13; Posted to Policy Library	
Field Trip Risk Management and Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	ALT (Sept 10) President appr. (Sept 13)	ALT/President
University-Hosted Event Risk Management and Approval Guidelines	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	ALT (Sept 10) President appr. Sept 13; Posted to Policy Library	PAC/OC/AC/ALT/President
Digital Learning Resources	CIQE	Nichole Molinaro	New	ACD	AC Committees AC approved June 25- posted to Policy Library	USC/GSC/AC
Gender Identification	RO	Joe Stokes	New	LCG	BOG approved June 26 posted to Policy Library	BC/BOG (June 10 A&F June 26 BOG)
Smoke Free Campus (Cannabis Legalization)	HR	Jamie Bruno	Substantive Amendment/Policy Review	ADM	Approved by president June 13 2019 – Uploaded to Policy Library	PAC/OC/AC/ALT/President ALT Apr 11 – presented by Olivia P. on behalf of Jamie
Academic Schedule Guidelines	Registrar	Kristen Boujos	New	ADM	VP- Approval Uploaded to Policy Library	Approval Provost approved June 13, 2019
Course Nomenclature	CIQE	Nichole Molinaro	Amendment	ACD	Academic Council – approved and posted	AC (April 23)
Program Nomenclature	CIQE	Kimberley McCartney-Young	Amendment	ACD	Academic Council – approved and posted	AC (April 23)
Fees and Charges Graduate and Undergrad	SGPS and UGS	Nichole and Kimberley, Joe Stokes	Amendment	ADM	Approved by president May 24	PAC/OC/AC/ALT/President
Student Sexual Violence	OSL	Olivia Petrie	Amendment	LCG	Approved and posted	BC April 17/BOG April 24

CURRENTLY INACTIVE POLICIES						
Student Conduct & Investigation	OSL	Olivia Petrie	Substantive Amendment New PI	LCG	On hold until SSV approved	PAC/AC/ALT/BC/BOG
Student Judicial Committee	OSL	Olivia Petrie	New	LCG	On hold until SSV approved	
Naming of Physical University Assets	C&M/Advancement	TBD	Substantive Amendment 2 New PI	LCG	Initial consultation-on hold	PAC/OC/AC/ALT/BC/BOG
Accommodations related to Sexual Violence	OSL	Heather Leckey	New – Directive under SSV Policy	LCG	Draft complete; no consultation has occurred.	OC/PAC/AC/ALT/President Needs separate approval
Radiation Safety	Research	Jennifer Freeman	Amendment – TBD	LCG	AC Fall 2019	OC/AC/A&F/BOG
Biosafety	Research	Jennifer Freeman	Amendment – TBD	LCG	Revising working draft.	OC/AC/A&F/BOG
Responsible conduct of research	Research	Jennifer Freeman	Amendment – TBD	LCG	No consultation.	
Research entities	Research	Jennifer Freeman	Amendment – TBD	LCG	Revising working draft. No consultation.	
Conflict of Interest in Research	Research	Jennifer Freeman	Amendment – TBD	LCG	Revising working draft. No consultation.	
Indirect Cost of Research	Research	Jennifer Freeman	Amendment New Procedure	ADM	Revising working draft. Informal Consultation with Research Working Group and Deans.	
Ownership of Research Equipment	Research	Jennifer Freeman	New		Revising working draft. Informal Consultation with Research Working Group, Research Board and Deans.	
Indirect Cost of Research	Research	Jennifer Freeman	Amendment New Procedure	ADM		

Ownership of Research Equipment	Research	Jennifer Freeman	New			
Adjuncts	TBD	TBD			Not sure this was on my list. Unclear who the policy owner is – Provost? It does need updating.	
Canada Research Chair Procedures	Research	Jennifer Freeman	New (5 procedures)	TBD	Mandatory Consultation Draft procedures complete but need parent policy.	TBD
International Travel Procedures	TBD	TBD	New	TBD	Initial Consultation	TBD
Flag Usage	C&M	Melissa Levy	New	ADM	Initial Consultation-on hold	OC/AC/ALT/President
Administrative Leave	HR	Krista Hester	New	ADM	Initial Consultation-on hold	OC /AC/ALT/President
Convocation Arrangements - Graduand Family Member	RO	Kristen Boujos	New	ADM	Consultation/Drafting	ALT/ OC /USC/GSC/AC
Procedures for Review of Academic Standing	FHSci	Lori Livingston	New	Lomig ADM	Consultation	Faculty Council/Dean
Committee and Working Group Approval	USGC	Niall O'Halloran	New	LCG	PAC Assessment	OC/ALT/AC/BC/BOG
Policy Review Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Policy Drafting Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Board Ethics	USGC	TBD	New	Board	Drafting	
PHIPA Privacy and Health Record Access and Custody Procedure	USGC	Niall O'Halloran	New	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG

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RB – Research Board

Directive for Recording of Lectures	OSL	Heather Leckey	New (Procedure under Accessibility Policy)	LCG	Policy Assessment	PAC/OC/AC/ALT/BC/BOG
Lactation Space Policy	OSL	Akeisha Lari	New	TBD	Drafting	
Procedures for Managing Allergies on Campus	OSL	Heather Leckey	New	LCG	Drafting	TBD
Administrative Unit Review	CIQE	Nichole Molinaro	New	TBD	Initial Consult	
Fit for Duty (Cannabis Legalization)	HR	Jamie Bruno	New	ADM	On hold	PAC/UAC/OC/AC/President Originally intended for approval alongside the other cannabis legalization policy instruments. On hold due to the intersection with accommodation procedures for employees.
UOIT Library Use Policy	Library	TBD	Amendment	TBD	Parking Lot	
Emergency Preparedness plan	USGC	TBD	Editorial Amendment	TBD	Parking Lot	
Anti-Violence for Visitors and Volunteers	TBD	TBD	New	TBD	Parking Lot	
Fitness to Study	OSL	TBD	New	TBD	Parking Lot	
Halloween Attire		TBD	New	TBD	Parking Lot	
Medical Notes	RO	TBD	New	TBD	Parking Lot	
Meeting with Students	TBD	TBD	New	TBD	Parking Lot	
Umbrella Policy on Violence, Sexual Violence, Harassment and Discrimination		TBD	New	TBD	Parking Lot	
Video Surveillance Policy		TBD	New	TBD	Parking Lot	
Communications	C&M	TBD	New	ADM	Parking Lot	



REPORT

TO: Higher Education Quality Council of Ontario (HEQCO)

FROM: Lori Livingston, Provost and Vice President, Academic

DATE: August 28, 2019

SUBJECT: Ontario Tech University Freedom of Expression Policy Annual Report 2019

History

This report has been written in response to the memorandum dated June 12, 2019, received from the Higher Education Quality Council of Ontario, requesting the submission of a Free Speech Annual Report. In the absence of a specified form of report, the University has prepared the Report in the form of a memorandum and trust that you will find this satisfactory.

Please find the University's responses below related to questions found on page 2&3 of the June 12, 2019 memorandum:

Institutional Culture & Policies

- In the wake of the government's requirement for institutional free speech policies, has there been ongoing debate or dialogue on campus with regard to freedom of speech?

Yes, the University conducted a robust consultation process regarding free speech the proposed policy, which included sessions with the following groups on the specified dates:

- Board of Governors Orientation Session (October 4, 2018)
 - Policy Advisory Committee (September 17 & October 25, 2018)
 - Online Community Consultation (October 12-October 22, 2018)
 - Academic Council (September 25, October 23, & November 27, 2018)
 - Administrative Leadership Team (November 13, 2018)
 - University Student Union (November 1, 2018)
 - Audit and Finance Committee (November 19, 2018)
 - Board of Governors (November 29, 2018)
 - Senior Leadership Team (August 26, 2019)
- Have institutional practices changed as a result of the free speech policy? For example, has the new free speech policy led to a re-examination or amendment of other institutional policies? If yes, please describe.

As the promotion of freedom of expression has long been a university focus and central to university values, institutional practices have not changed significantly. During the development of the new Freedom of Expression Policy, the effect on other institutional policies was considered and policies affected were identified.

No significant amendments were required to any other policy instruments. The Freedom of Expression Policy ties into and informs the administration and application of the following policy instruments at the University:

- Student Conduct Policy
 - Policy on Recognition of Student Organizations
 - Student Association Accountability Policy
 - Safe Disclosure Policy
 - Safe Disclosure Procedure
 - Harassment and Discrimination Policy
 - Policy Against Violence, Harassment and Discrimination in the Workplace
 - Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace
- Now that your free speech policy has been in effect for a period of time, have any issues emerged that would cause you to re-evaluate or amend your existing policy? If so, please describe.

No issues have emerged. The University has committed to reviewing the policy and its content as needed and at least every three years in accordance with its policy framework practices. An initial review will be conducted within the first year of its implementation (review set for November 2019).

Events

- To the best of your ability, please provide an estimate of the number of non-curriculum events that have been held at the institution since January 1, 2019.
- To the date of this Annual Report, there have been just over three hundred non-curriculum events held at the institution since January 1, 2019.
- Is there a designated office at the institution where members of the institutional community (or guests) are directed when there is a free speech related question or complaint about an event on campus?

Yes, as outlined in the Freedom of Expression Policy, the following direction is provided:

- General complaints related to Freedom of Expression in University Space or the Online University Environment under this policy can be submitted to the Office of the Provost for resolution.
- Complaints related to decisions made by the University under this Policy are covered by the University's Safe Disclosure Policy. In other words, a complaint that the Freedom of Expression Policy has been improperly administered would be processed under the University's Safe Disclosure Policy and would be considered by the University's General Counsel.
- Complaints related to the activities of recognized student organizations are covered by the University's Policy on Recognition of Student Organizations.

- Complaints regarding conduct by Employees in contravention of the Freedom of Expression Policy are covered under the following applicable policy instruments:
 - Harassment, violence or discrimination complaints are investigated under the Policy Against Harassment, Violence and Discrimination in the Workplace, and in accordance with any applicable collective agreements.
 - Other violations can be addressed by the procedures for receiving and resolving complaints in section 9.1, in accordance with any applicable collective agreements.
- How did your institution navigate free speech related cost and/or safety concerns related to event on campus?

All events on campus are approved through a risk management framework, which includes discussions with the Office of Security and Emergency Management as necessary. No events gave rise to free speech related costs and/or safety concerns in the past year.

- To your knowledge, were there any instances where a non-curriculum event did not proceed due to these concerns?

No

Complaints

- Have any organized campus events or incidents on campus – curricular or non-curricular – caused members of the institutional community (or guests) to make an official complaint about free speech on campus?

No

- If there has been a complaint (or more than one), please describe:
 - What were the issues under consideration? Identify and points of contention (e.g., security costs, safety student unions and/or groups, operational requirements, etc.).
NA
 - How did the institution manage the free speech incident? Was the complaint addressed using the procedures set out in the policy? Did the policy/institutional process “work”? How were issues in contention resolved?
NA
 - Were there instances where members of the institutional community (or guests) sought redress or interpretation regarding the policy and/or requests for assistance with compliance?
NA
 - To your knowledge, were there any free speech complaints forwarded to Ontario Ombudsman?
Not to our knowledge.

Please include the following data for any free speech-related official complaints received by the institution:

- Number of complaints received under the free speech policy relating to non-curricular events and to curricular events.
0
- Number of complaints reviewed that were dismissed.
0
- Number of complaints or incidents where the institution determined that the free speech policy was not followed appropriately.
0
- Number of complaints or incidents under the free speech policy which resulted in the institution applying disciplinary measures.
0

Should there be additional questions, please feel free to contact the Provost's office via email at provost@uoit.ca.

Sincerely,

A handwritten signature in black ink, appearing to read 'L. Livingston', with a stylized flourish at the end.

Lori A. Livingston, PhD
Provost and Vice-President, Academic



Freedom of Speech on Campus
2019 Annual Report to the Ontario Government
by the
Higher Education Quality Council of Ontario

Introduction

On August 30, 2018 Ontario Premier Doug Ford formally announced that each of the province's colleges and universities would, by January 1, 2019, develop and implement a free speech policy that meets a minimum standard prescribed by the government.

The policies were to be based on the [University of Chicago's Statement on Principles of Free Expression](#). Government asked that institutions include the following elements:

- A definition of freedom of speech
- That universities and colleges should be places for open discussion and free inquiry
- That institutions should not attempt to shield students from ideas or opinions that they disagree with or find offensive
- That members of the institution are free to criticize and contest views expressed on campus, but may not interfere with the freedom of others to express their views
- That speech that violates the law or constitutes harassment or threat is not allowed

The policies were also to address administrative mechanisms whereby members of the college or university community could raise and resolve free speech issues. Any complaint that remained unsolved could be referred to the Ontario Ombudsman.

To monitor implementation of the initiative, the Higher Education Quality Council of Ontario (HEQCO) was tasked by government to review institutions' progress in developing and implementing their free speech policies. Institutions were instructed to develop, post and submit to HEQCO an annual report on the implementation of their free speech policies starting in September 2019. HEQCO's role in ensuring the success of the government's free speech initiative was summarized in a Dec. 14, 2019 memo by then Deputy Minister George Zegarac of the Ministry of Colleges and Universities (MCU):

A recent regulatory amendment to O. Reg. 336/06 made under the Higher Education Quality Council of Ontario Act, 2005 gives HEQCO the function to research and evaluate how free speech is addressed at each postsecondary institution and across the postsecondary sector, as well as provide reports and recommendations to the Minister on the results of such research and evaluation.

This is our first annual report, based on the institutional implementation reports posted across the province. As it is the inaugural report, it is divided into two components. The first is our review of the January 2019 launch of the policies and of the policies themselves. The second is our review of institutions' September 2019 reports on the implementation of the policies over the first eight months of operation.

A. Successful Launch of Institutional Policies

All public colleges and universities posted free speech policies in January 2019. The 24 colleges opted to cooperatively develop a single policy, which was adopted by all institutions, albeit with customization in regard to administrative mechanisms unique to each college. The universities' approach was institutionally driven. All but three of the universities developed new policies or revised existing ones to accommodate the government's conditions and timeline. Those three institutions had pre-existing policies that, upon review, they left in place.

The consequent policies are varied, both in construction and wording, but our assessment is that they reflect the University of Chicago principles articulated by government. Many of the policies reveal thoughtful, reflective consideration and sensitivity to the importance of free speech.

Appendix A provides a link to each institution's policy, as posted on institutional websites.

An observation

After careful consideration of the University of Chicago principles, we would like to highlight a fundamental component of that document that is not evident in all of the Ontario policies, perhaps because it was not included in the ministry's list of minimal conditions.

As we understand it, the essential principle of the University of Chicago position is that freedom of speech explicitly and unequivocally takes precedence over civility and respect in public discourse. The *University of Chicago Report of the Committee on Freedom of Expression* states:

Although the University greatly values civility, and although all members of the University community share in the responsibility for maintaining a climate of mutual respect, concerns about civility and mutual respect can never be used as a justification for closing off discussion of ideas, however offensive or disagreeable those ideas may be to some members of our community.

Although the mandatory minimum requirements set out by government are based on the University of Chicago principles, the government did not explicitly require a statement identifying the hierarchy of free speech over civility.

If the underlying principle of the University of Chicago position is the fundamental supremacy of free speech over civility, we note that there is ambiguity in the face of some of the published policies with regard to this principle. Some of the university policies refer to respect, civility and the role of the institution as a place for free and open dialogue, but do not explicitly acknowledge the dominance of free speech within that context. Our concern is that a failure to do so undercuts the very essence of the

principle. In other cases, the policies include statements that appear to articulate the hierarchy of principles, only to be followed with language that could be interpreted as contradictory to it.

We flagged this as an issue to watch for as implementation of the new policies began on campus. We were curious as to whether the tension between free speech and civility might surface as an issue as academic communities began to interpret and apply the policies to real life situations. This appears not to have been the case in the first eight months under the new policies. We will simply continue to be mindful of this potential issue.

B. First Annual Implementation Reports

HEQCO asked institutions to respond to a series of questions to inform our report to government. We asked institutions to tell us about institutional culture with regard to free speech, identify any institutional policies that had been impacted/revised because of the free speech policy, report on the number of events held on campus, and summarize any free speech complaints or issues and whether they were resolved.

We also encouraged institutions to use this first annual report to provide supporting or contextual information, such as institutional history and culture with regard to free speech policy and practice, as well as lessons learned through the process of developing a free speech policy, or from its implementation over the first eight months.

All publicly funded colleges and universities submitted and posted their implementation reports in September 2019. Appendix B provides the relevant links to institutional websites.

We note that there was considerable variance in the form, organization and level of detail in this first cycle of annual reporting. Nonetheless, we were able to assemble a comprehensive picture of the implementation journey across the province in the first eight months under the new requirements. Highlights from the institutional implementation reports are as follows:

The policies after eight months

As noted above, all institutions posted their free speech policies in January 2019. To date, none has been identified as requiring amendment due to issues or complications raised during the implementation. The college sector has scheduled a system-level review of its common free speech policy for fall 2019. A number of universities have also indicated that their freedom of speech policy is subject to pre-scheduled policy review windows. We consider regular review to be a best practice, even if no issues have been raised.

A number of institutions reported that they had completed or were still completing collateral development work associated with the new free speech policies. Predominantly, this relates to reviews of other policies to ensure alignment (for example, policies with regard to the booking of space, student conduct, and harassment and discrimination).

Some institutions report no ongoing dialogue on campus regarding free speech since the implementation of the new policy. Others report ongoing reflection about free speech and attendant

matters such as hate speech and safe spaces (for example, speakers and expert panels, public debate forums, institutional free speech websites).

There is almost no mention of media interest or coverage about institutional policies or their implementation.

Events on campus

We asked for a sense of the volume of non-curriculum (i.e., not directly attached to an academic program) events at colleges and universities. Collectively, the institutions reported in excess of 40,000 events, an estimate we know to be conservative as some institutions noted that they lacked a robust centralized logging system to capture all such activity across their campus locations. Clearly, Ontario's postsecondary institutions host a substantial volume of events aimed at fostering dialogue and discourse for both their internal and external communities.

We asked about cancellations of events due to concerns about safety or the costs of security. Only one cancellation for safety and security concerns was identified in the period from January through August 2019.

Some institutions took the time to summarize in their reports the risk-management assessment processes they have in place in order to identify and deal with safety and security risks. We believe formal risk-assessment processes to be a best practice.

Complaints and issues

Each institutional free speech policy has associated procedures regarding the lodging and resolution of a free speech related complaint. Twenty-one formal complaints were reported across the system, and all of these were, to the involved institutions' knowledge and understanding, resolved internally.

The Premier's August 30, 2018 announcement stated that any complaint against an institution that remained unresolved may be reported to the Ontario Ombudsman. No institution reported knowledge of a referral of a free speech complaint to the Ombudsman. It should be noted that under the Ombudsman Act, Ombudsman investigations are conducted in private (s. 18(2)). Furthermore, the Ombudsman is obligated to inform the institution only in the event that he or she decides to proceed with an investigation (s. 18 (1)). On its website, the Ombudsman's office further states, "Complaints are often resolved without need to contact the relevant organization." So, institutions may not know if a complaint has been lodged against them with the Ombudsman.

Housekeeping tips

We would like to share two lessons learned from this first annual report cycle to improve and streamline the process next year (September 2020):

1. While we specified the content to be covered in institutional reports, we did not issue a reporting template. We wanted to give institutions some freedom of expression, with latitude to customize their institutional narrative, and not just respond to a list of requirements. We discovered from their inquiries that many institutions pine for a template. We discovered that absent a template, some institutions did not touch on all the reporting

elements in their narrative that we had specified. We also discovered that for us, the easiest reviews were of submissions that simply treated our list of items as a template.

Next year, we will issue a template.

2. The first year of any new reporting requirement inevitably reveals room for improvement. Definitions (e.g., what is an event?) may not be consistently interpreted. Data (i.e., how many events were held) may not be collected. We will incorporate additional guidance into our instructions next year and share our requirements earlier so institutions can ready themselves for data collection and response. That said, we believe this first cycle of reporting was sufficiently robust and complete to allow us to prepare a province-wide report with confidence, as we have done.

Our Concluding Observations

HEQCO's task is to report on the implementation of the government's free speech initiative, not to pass judgement on or to police institutions.

That said, it is our conclusion that the initial roll out of the free speech initiative across Ontario colleges and universities has met government objectives.

We look forward to submitting our second report next year at this time.

Appendix A: Institutional Freedom of Speech Policies

UNIVERSITIES	
Algoma	https://employees.algomau.ca/services/wsDocuments/4158
Brock	https://brocku.ca/policies/wp-content/uploads/sites/94/Freedom-of-Expression-Policy.pdf
Carleton	https://carleton.ca/secretariat/wp-content/uploads/Freedom-of-Speech.pdf
Guelph	https://www.uoguelph.ca/secretariat/policy/1.2
Hearst	http://www.uhearst.ca/docs/politique-sur-la-liberte-dexpression.pdf
Lakehead	https://www.lakeheadu.ca/faculty-and-staff/policies/general/node/49726
Laurentian	https://laurentian.ca/policy-freedom-of-speech
McMaster	https://op.mcmaster.ca/wp-content/uploads/2018/10/Guidance-for-Event-Organizers_FINAL_8Jun18.pdf
Nipissing	https://nipissingu.ca/sites/default/files/2018-12/Free%20Speech%20Policy%20-%20Dec%202018.pdf
OCADU	https://www2.ocadu.ca/internal-update/ocad-university-freedom-of-expression-statement-and-policies
Ottawa	https://www.uottawa.ca/administration-and-governance/policy-121-statement-free-expression
Ontario Tech U	https://usgc.uoit.ca/policy/freedom-of-expression-policy.php
Queen's	https://www.queensu.ca/secretariat/policies/administration-and-operations/free-expression-queens-university-policy
Ryerson	https://www.ryerson.ca/freedom-of-speech/
Toronto	http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppmay281992.pdf
Trent	https://www.trentu.ca/governance/sites/trentu.ca.governance/files/documents/Free%20Speech%20Policy%20-%20ACCESSIBLE.pdf
Waterloo	https://uwaterloo.ca/secretariat/policies-procedures-guidelines/policies/policy-8-freedom-speech-0
Western	https://www.uwo.ca/univsec/pdf/policies_procedures/section1/mapp154.pdf
Wilfrid Laurier	https://www.wlu.ca/about/discover-laurier/freedom-of-expression/index.html
Windsor	https://lawlibrary.uwindsor.ca/Presto/content/Detail.aspx?ctID=OTdhY2QzODgtNjhYi00ZWY0LTg2OTUtNmU5NjEzY2JkMWYx&rID=OTg=&qrs=RmFsc2U=&q=KFVuaXZlcnNpdHlfb2ZfV2luZHNvcl9DZW50cmFsX1BvbGljaWVzLkFsbFRleHQ6KGV4cHJlc3Npb24pKQ==&ph=VHJ1ZQ==&bckToL=VHJ1ZQ==&rrtc=VHJ1ZQ==
York	https://secretariat-policies.info.yorku.ca/policies/free-speech-statement-of-policy/

COLLEGES	
Algonquin	https://www.algonquincollege.com/policies/files/2019/01/ADO7_Upholding-Free-Speech-v2.pdf
Boréal	http://www.collegeboreal.ca/wp-content/uploads/2018/12/C-5-Maintien-du-droit-a-la-liberte-dexpression.pdf
Cambrian	https://cambriancollege.ca/wp-content/directory/policies/Corporate%20Policies/General%20Administration/General%20Operations/Cambrian%20Statement%20on%20Upholding%20Free%20Speech.pdf
Canadore	https://cdn.agilitycms.com/canadore-college/Attachments/about-us/policies/Free%20speech%20policy%20statement%202018.pdf
Centennial	https://p.widencdn.net/ajx9gc/ac100-25-free-speech-policy
Conestoga	https://cms.conestogac.on.ca/sites/corporate-websites/policies/PDFDocuments/Presidents%20Office/Free%20speech%20policy%20-%20English%20version.pdf
Confederation	http://www.confederationcollege.ca/sites/default/files/uploads/department/ch1-s1-17_free_speech_0.pdf
Durham	https://durhamcollege.ca/wp-content/uploads/322-upholding-free-speech.pdf
Fanshawe	https://www.fanshawec.ca/sites/default/files/legacy/oldfanshawe/sites/default/files/assets/policies/pdf/c305.pdf
George Brown	https://www.georgebrown.ca/news/free-speech-policy/
Georgian	https://www.georgiancollege.ca/wp-content/uploads/CS-001-Free-Speech-policy-and-procedure.pdf
Humber	https://humber.ca/legal-and-risk-management/policies/general-administration/policy-statement-on-upholding-free-speech.html
La Cité	https://www.collegelacite.ca/directives/humaines/rh-13
Lambton	https://www.lambtoncollege.ca/custom/Pages/Policies/Policy.aspx?id=2147523917
Loyalist	https://www.loyalistcollege.com/policy-statement-on-upholding-free-speech/
Mohawk	https://www.mohawkcollege.ca/about-mohawk/leadership-and-administration/policies-and-procedures/policy-statement-on-upholding
Niagara	https://www.niagaracollege.ca/practices/view/general-operations/free-speech/
Northern	http://www.northernc.on.ca/docs/pdfs/Policy_on_Free_Speech_Dec17_2018.pdf
Sault	https://www.saultcollege.ca/AboutUs/PDF/Policies/Statement%20of%20Commitment%20-%20Freedom%20of%20Expression.pdf
Seneca	http://www.senecacollege.ca/about/policies/free-speech-policy.html
Sheridan	https://policy.sheridanc.on.ca/
S. S. Fleming	https://department.flemingcollege.ca/hr/working-at-fleming/policies-and-procedures/
St. Clair	http://www.stclaircollege.ca/boardandstaff/corporatedocuments/scc_policy_5-22.pdf
St. Lawrence	https://www.stlawrencecollege.ca/about/college-reports-and-policies/free-speech-policy/

Appendix B: 2019 University and College Freedom of Speech Annual Reports

UNIVERSITIES	
Algoma	https://www.algomau.ca/wp-content/uploads/2019/08/2019-08-26-Algoma-University-Annual-Report-Implementation-of-Freedom-of-Expression-Policy-Policy-AD4-December-21-2018.pdf
Brock	https://brocku.ca/free-speech/wp-content/uploads/sites/195/Brock-University-Annual-Report-on-Freedom-of-Expression-Jan-July-2019.pdf
Carleton	https://carleton.ca/senate/wp-content/uploads/Final-Free-Speech-Annual-Report-August-1-2019.pdf
Guelph	https://www.uoguelph.ca/freedom-of-expression/FOE-Annual-Report-September-3-2019.pdf
Hearst	http://www.uhearst.ca/sites/default/files/downloads/rapport-udeh-sur-la-politique-concernant-la-liberte-dexpression.pdf
Lakehead	https://www.lakeheadu.ca/sites/default/files/uploads/108/documents/FreeExpressionPolicy-Lakehead-AnnualReport-HECQO-30Aug2019.pdf
Laurentian	https://laurentian.ca/assets/files/Freedom-of-Speech.pdf
McMaster	https://op.mcmaster.ca/wp-content/uploads/2019/08/FoE_McMaster-Annual-Report_15Aug19.pdf
Nipissing	https://www.nipissingu.ca/sites/default/files/2019-09/Free%20Speech%20Report%20-%20HEQCO.pdf
OCADU	https://www.ocadu.ca/Assets/documents/OCAD+U+Freedom+of+Expression+Annual+Report+2019.pdf
Ottawa	https://www.uottawa.ca/vice-president-academic/sites/www.uottawa.ca.vice-president-academic/files/uottawa_report_2019_final_eng.pdf
Ontario Tech U	https://shared.uoit.ca/shared/uoit/documents/uoit-publications/freedom_of_expression_2019_report.pdf
Queen's	https://www.queensu.ca/secretariat/sites/webpublish.queensu.ca.uslclwww/files/files/Free%20Speech%20Reporting%202018-19.pdf
Ryerson	https://www.ryerson.ca/content/dam/freedom-of-speech/Ryerson-FreeSpeechReportbackFINAL.pdf
Toronto	http://freespeech.utoronto.ca/wp-content/uploads/U.-Toronto-2019-Freedom-Speech-Annual-Report.pdf
Trent	https://www.trentu.ca/president/free-speech-policy
Waterloo	https://uwaterloo.ca/secretariat/annual-report-re-policy-8-freedom-speech-2019
Western	https://www.uwo.ca/ipb/publicaccountability/documents/HEQCO_FoE_report_08-19.pdf
Wilfrid Laurier	https://wlu.ca/about/discover-laurier/freedom-of-expression/assets/resources/annual-report-on-free-speech-policy-2019.html
Windsor	http://www.uwindsor.ca/provost/sites/uwindsor.ca.provost/files/freedom_of_expression_implementation_annual_report_university_of_windsor.pdf
York	https://secretariat.info.yorku.ca/files/Freedom-of-Speech-Annual-Report-2019.pdf

COLLEGES	
Algonquin	https://www.algonquincollege.com/reports/files/2019/09/2019-HEQCO-Freedom-of-Speech-Annual-Report-FINAL-Algonquin-College.pdf
Boréal	http://www.collegeboreal.ca/wp-content/uploads/2019/08/Rapport-annuel-sur-la-libert%C3%A9-d'expression-2018-19.pdf
Cambrian	https://cambriancollege.ca/wp-content/uploads/2019/08/FreeSpeech_AnnualReport_19.pdf
Canadore	https://cdn.agilitycms.com/canadore-college/Attachments/about-us/policies/Annual%20Free%20Speech%20Report.pdf
Centennial	https://p.widencdn.net/dkaxll/Centennial-College-Free-Speech-Annual-Report_2019
Conestoga	https://cms.conestogac.on.ca/sites/corporate-websites/about/College%20Reports/Free%20Speech%20Report%202019.pdf
Confederation	https://www.confederationcollege.ca/sites/default/files/uploads/department/ch1-s1-17_heqco_letter.pdf
Durham	https://durhamcollege.ca/wp-content/uploads/free-speech-policy-annual-Report.pdf
Fanshawe	https://www.fanshawec.ca/sites/default/files/uploads/strategicplan/free_speech_annual_report_2019.pdf
George Brown	https://www.georgebrown.ca/policies/freedom-of-expression/
Georgian	https://www.georgiancollege.ca/wp-content/uploads/Georgian-College-Free-Speech-Annual-Report-August-2019.pdf
Humber	https://humber.ca/sites/default/files/uploads/documents/annual_report_on_freedom_of_speech.pdf
La Cité	https://www.collegelacite.ca/documents/10315/14318779/La_Cite_-_Rapport_annuel_Liberte_expression.pdf/c7250cda-4f04-e9cd-3414-074bb3d8eb9e
Lambton	https://www.lambtoncollege.ca/uploadedFiles/LambtonCollege/Content/About_Us/Our_College/College_Reports_and_Plans/Free%20Speech%20Annual%20Report.pdf
Loyalist	https://www.loyalistcollege.com/wp-content/uploads/2019/09/Freedom-of-Speech-Report-2019.pdf
Mohawk	https://www.mohawkcollege.ca/about-mohawk/leadership-and-administration/policies-and-procedures/policy-statement-on-upholding
Niagara	https://www.niagaracollege.ca/wp-content/uploads/Free-Speech-Annual-Report-to-HEQCO.pdf
Northern	http://www.northernc.on.ca/wp-content/uploads/2019/09/2019-Free-Speech-Annual-Report-Northern-College.pdf
Sault	https://www.saultcollege.ca/AboutUs/PDF/Policies/Sault%20College%20Free%20Speech%20Report.pdf
Seneca	https://www.senecacollege.ca/about/reports/free-speech/
Sheridan	https://www.sheridancollege.ca/about/administration-and-governance.aspx
S. S. Fleming	https://flemingcollege.ca/PDF/Fleming-College-Free-Speech-Annual-Report.pdf
St. Clair	http://www.stclaircollege.ca/boardandstaff/corporatedocuments/Free-Speech-Annual-Report-2019.pdf
St. Lawrence	https://www.stlawrencecollege.ca/about/college-reports-and-policies/free-speech-policy/

New Building Project



October Project Update 5 November 2019

New Building Update

Agenda Item 13.4

This Period Achievements

- Tower Crane Erected
- Drilling dewatering wells completed
- Site dewatering on-going
- Footing excavation on-going
- Footings form & rebar works on-going
- Mechanical & electrical rough-in works in the tunnel progressing
- Procurement of architectural sub trades on-going
- Site Plan Approval – 3rd submissions comments from the city issued
- Project Submittals and RFI on going



Forecast Schedule

New Building (Next period)

- Permanent dewatering system design
- Continue excavation works
- Continue foundation works
- Continue mechanical rough-in works
- Construction schedule compression and fast tracking
- Continue Submittals review and approvals
- Continue RFI responses
- Continue Sub-trades and suppliers procurement
- Procurement of electrical items and mechanical equipments
- Branding and signage design
- Security System design
- Continue with Building permit and SPA submissions and comments

Sub-projects Update

Agenda Item 13.4



Portable Relocation

This Period Reporting

- Deficiency clearing in progress
- Close out documentations under review
- Property on construction lien

Forecast

- Complete deficiency rectification
- Finalize documentations
- Release construction lien
- Hold back release

F5 Parking Lot Extension

Forecast

- Close out documentations
- Holdback release



Site Safety:

- Nothing to report this period

Change Orders:

- Nothing to report this period

Procurement Summary:

- Roofing, Drywall and Ceiling works bid packages issued
- Miscellaneous metal works package under bid evaluation

Financial Summary:

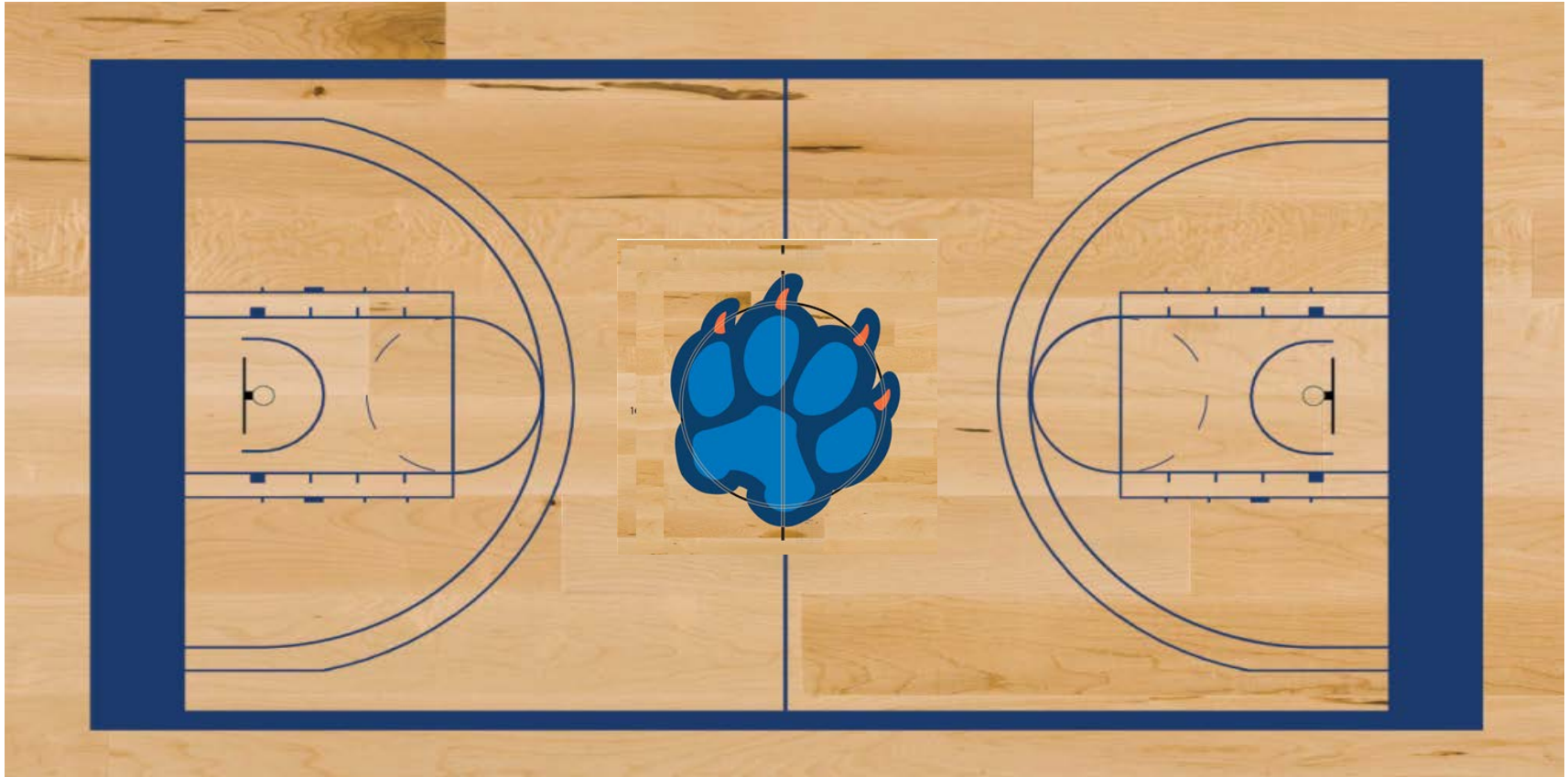
- Total committed amount to date \$43.673M
- Total project expense to date \$5.985M
- Breakdown of Sources and Uses of funds next slide

Agenda Item 13.4

NEW BUILDING						
PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING			OCTOBER 2019			
Sources of Funds - Cash flow						
Description	Total Funding	Committed Todate	Actual YTD Oct 2019	Oct 2019	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 Oct 2019	Oct 2019	Estimate at Completion	
GMP Contract	\$ 39,996,403	\$ 39,996,403	\$ 3,272,587	\$ 458,862	\$ 39,996,403	
FF&E	\$ 3,246,505	\$ -	\$ -	\$ -	\$ 3,246,505	
Soft Cost	\$ 1,940,732	\$ 1,548,959	\$ 723,936	\$ 42,872	\$ 1,940,732	
Portable Relocation	\$ 1,738,512	\$ 1,527,488	\$ 1,323,420	\$ 60,333	\$ 1,738,512	
New Parking (50% sharing)	\$ 327,848	\$ 327,848	\$ 564,040	\$ 45,820	\$ 327,848	1
Contingencies	\$ 750,000	\$ 205,796	\$ 101,347	\$ 9,579	\$ 544,204	
U5 U/G service and shutdown		\$ 48,764	\$ 48,764	\$ -	\$ 48,764	
UL Sanitary pipe Relocation		\$ 17,787	\$ 17,787	\$ -	\$ 17,787	
U5 City compliances		\$ 25,218	\$ 25,218	\$ -	\$ 25,218	
F5 Compliances		\$ 9,579	\$ 9,579	\$ 9,579	\$ 9,579	
U5 Accessibility		\$ 5,677	\$ -	\$ -	\$ 5,677	
U5 Footing & Ramp		\$ 103,543	\$ -	\$ -	\$ 103,543	
U5 Deficiency Backcharge		\$ (4,771)	\$ -	\$ -	\$ (4,771)	
Totals	\$ 48,000,000	\$ 43,673,045	\$ 5,985,331	\$ 617,466	\$ 48,000,000	
Notes:						
1. Construction cost for the F5 parking lot extension is equally shared with the College						
1. October 2019 amount and Actual YTD is actual cost incurred						

Ontario Tech Varsity Change Room Expansion

Project Update Presentation – October 2019



Progress Update (as of October 31 2019)

Ontario Tech Varsity Change Room:

- Occupancy Granted Oct 30/19
- Consultants reviews completed Oct 29/19
- All systems completed 100%
- Substantial completion obtained Oct 31/19
- Landscaping 85% complete



Forecast Schedule (Next Step):

Agenda Item 13.5

- Construction began May 14 2019
- Landscaping for temporary walkway to be completed first week of Nov
- Deficiency items to be cleaned up by the second week of Nov
- Basketball Milestones: Season Opener Oct 18 2019
Home Opener Nov 03 2019



Site Safety:

- Nothing to report – no incident on site this period
- Temporary pedestrian pathways with signage have been installed, along with a covered walk way into the CRWC
- Health and safety advised of a complaint of Tar smell within the CRWC during the roofing install. Extra fans were placed in the entrance vestibules to prevent the contamination

Change Orders:

- CO#1 totals -\$(54,209) which includes BBA CO#'s 1,2,3,6
- CO#2 totals - \$48,036 which includes BBA CO#'s 4,7,8,9.
- CO#3 totals - \$25,288 which includes BBA CO#'s 10,11.
- CO#4 totals - \$18,659 which includes BBA CO#'s 12,13,14,15,16,17,18, and original PO alternate price credit

Procurement Summary:

- A purchase order for design was issued to BBA on Jan 32 2019
- A letter of Intent was issued to JJ McGuire on May 10 2019
- Purchase order for Construction issued to JJ McGuire on June 11 2019
- FFE items 85% procured through Scott Barker and Team

Financial Summary:

- Refer to attached report below

A&F Roll up Financial Report as of October 31 2019

Agenda Item 13.5

ONTARIO TECH VARSITY CHANGE ROOM EXPANSION						
PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING October 2019						
Sources of Funds - Cash flow						
Description		Total Funding	Actual YTD October 2019	Oct 2019	Estimate at Completion	See Notes
CRWC Reserve Fund		\$ 1,900,000	\$ 858,535	\$ 303,805	\$ 2,042,859	
					\$ -	
Totals		\$ 1,900,000	\$ 858,535	\$ 303,805	\$ 2,042,859	
Uses of Funds - Cash flow						
Description	Vendor	Reallocated Total	Actual YTD October 2019	Oct 2019	Estimate at Completion	
Construction	JJ McGuire	\$1,725,000	\$708,642	\$294,498	\$1,884,414	
Design	BBA	\$140,000	\$129,300	\$9,307	\$137,846	
Permits	City of Oshawa	\$35,000	\$20,593	\$0	\$20,600	
Site Services	JJ McGuire	\$0	\$0	\$0	\$0	
FFE	CRWC	\$0	\$0	\$0	\$0	
Contingencies	Ontario Tech U	\$0	\$0	\$0	\$0	
		\$0			\$0	
Totals		\$1,900,000	\$858,535	\$303,805	\$2,042,859	



COMMITTEE/BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: November 28, 2019

FROM: Governance, Nominations & Human Resources Committee

SLT LEAD: Jamie Bruno, AVP, Human Resources

SUBJECT: Policy Review Update: Policy Against Violence, Harassment and Discrimination in the Workplace

BACKGROUND/CONTEXT & RATIONALE:

- The *Policy Against Violence, Harassment and Discrimination in the Workplace* was approved in December 2016, last reviewed in November 2018, and due for annual compliance review as of November 2019.
- The first step of the annual compliance review involves an internal analysis by the Human Resources department, which has commenced and is scheduled to conclude by October 21, 2019.
- Upon conclusion of this review, the AVP, Human Resources will initiate an outreach to the following groups and entities as part of a consultation phase designed to both advise on proposed changes, if any, being advanced by the University and to solicit feedback for the University's consideration:
 - Letters to OPSEU, PSAC and Faculty Association: Week of October 28
 - Joint Health and Safety Committee (North campus): November 22
 - Joint Health and Safety Committee (Downtown campus): November date TBD

- Pursuant to the policy, the management group in Student Life will also be requested to review the policy ahead of the consultations with each JHSC.
- The University recently concluded its recruitment efforts to fill the new position of Senior Disputes Resolution Officer/Human Rights Advisor.
- This position reports to the University Secretary and General Counsel and, among other things, provides leadership, education and complaint resolution support on matters related to workplace violence, sexual violence, human rights, discrimination and harassment.
- Given the presence and scope of this new role and the current construct of the *Policy Against Violence, Harassment and Discrimination in the Workplace*, there may be changes to responsibility and/or changes to processes. To give the incumbent a good opportunity to consult with stakeholders and make his own assessment, these recommended changes, if any, may be included as proposed revisions submitted to GNHR during the next annual compliance review.

IMPLICATIONS:

- The approval of the compliance review will allow the University to continue to support staff in a responsible and responsive manner when managing a complaint under the policy.

NEXT STEPS:

- Following the conclusion of consultation and feedback phase, final review will be completed and shared with GNHR at the January committee meeting.



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion
Information

☐
☐
☒

TO: Board of Governors

DATE: November 28, 2019

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

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: Board Orientation/Education Work Plan 2019-2020

COMMITTEE MANDATE:

GNHR is responsible for overseeing the development of programs for the orientation and ongoing education of governors on university operations, matters affecting post-secondary education sector, and good governance practices.

BACKGROUND/CONTEXT:

In anticipation of the larger than usual number of new governors, a more detailed Education Plan was developed for 2018-2019. Although there is only one new governor this year, we found it was a good exercise and developed a plan for 2019-2020. Rather than focusing on orientation, this year's plan focuses on educational sessions that align with the Board's work for the year.

CONSULTATION:

The Education Plan was developed in consultation with President and the Chair of GNHR.

SUPPORTING REFERENCE MATERIALS:

- Draft Board Orientation/Education Work Plan 2019-2020

BOARD ORIENTATION/EDUCATION WORK PLAN 2019-2020

Date	Suggested Topic	Lead
September 24	<ul style="list-style-type: none"> • Orientation Session for Academic Council members & invite new student governor 	Cheryl Foy & Becky Dinwoodie
October 10	<ul style="list-style-type: none"> • GNHR New Member Orientation (Maria Saros) <ul style="list-style-type: none"> ○ Orientation session prior to first GNHR meeting ○ Committee mandate & work plan ○ Key issues facing GNHR 	GNHR Chair & Steven Murphy & Cheryl Foy
October 22	<ul style="list-style-type: none"> • Colleagues Exchange: Digital Badges/Alternative Credentials (Board invited to attend) 	Roland Van Oostveen
TBD	<ul style="list-style-type: none"> • S&P New Member Orientation (Owen Davis) <ul style="list-style-type: none"> ○ Orientation session prior to first S&P meeting ○ Committee mandate & work plan ○ Key issues facing S&P 	Cheryl Foy & Becky Dinwoodie
November 20 (between Investment & A&F meetings)	<ul style="list-style-type: none"> • Investment & A&F Committees <ul style="list-style-type: none"> ○ Refresher on question toolkit 	Committee Chairs & Cheryl Foy
November 28 (immediately before Board meeting)	<ul style="list-style-type: none"> • University Funding 101 & SMA 	Brad MacIsaac
February 27 (immediately before Board meeting)	<ul style="list-style-type: none"> • Intellectual Property, Open Educational Resources, Partnerships 	Steven Murphy & Cheryl Foy
April 23	<ul style="list-style-type: none"> • Lab Tour with Matthew Mackenzie (Aquatics & Nuclear Labs) 	

June 25	<ul style="list-style-type: none">• AGM – alumni & SU presentations	
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COMMITTEE REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: November 28, 2019

FROM: Strategy & Planning Committee

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: University Risk Management – Strategic Risks Update

COMMITTEE MANDATE:

- In accordance with its Terms of Reference, the Strategy & Planning Committee (S&P) is responsible for overseeing the strategic planning for all aspects of the university.
- This includes making recommendations to the Board on strategic foresight, risk, and scenario planning.
- In support of the committee's mandate, we are providing an update on the status of the university's strategic risk management process and seeking the committee's feedback on the adequacy of the proposed next steps with the University Strategic Risks.

BACKGROUND:

- The second University Risk Management Report was presented and accepted by the Board on June 22, 2017,
- A key area of focus was to support the Senior Leadership Team ("SLT") and Board to finalize the list of strategic risks.
- In April 2018, twelve (12) strategic risks were collaboratively drafted by SLT as risks to the University.
- These draft risks were shared and discussed in detail with the Board of Governors during its Annual Board Retreat in May 2018.
- The third University Risk Management Report was presented and accepted by the Board on June 27, 2018.

- Key objectives identified for 2018/2019 included supporting SLT and the Board to determine next steps with the University strategic risks, and continue to engage in discussion of strategic risks and strategic Risk Management through identification of assignment and mitigation activities.
- On December 10, 2018, the members of SLT met to discuss the proposed assignment of Risk Owners the University Strategic Risks.
- Each Risk Owner met with Risk Management to identify current mitigation and propose future mitigation strategies for their assigned strategic risk(s).
- The Strategic Risk mitigation plans were presented to SLT in April 2019 for discussion to confirm their adequacy.

Proposed Process:

- Work with members of SLT to assign a calculated level of risk to each Strategic Risk.
- Develop a process to map the Operational Risks identified at the University against the Strategic Risks.
- Continue to monitor progress of the current and future Strategic Risk mitigation strategies and work with Risk Owners moving the plans forward.

RESOURCES REQUIRED:

- Time and resources of SLT, Risk Owners and Risk Management to continue action against the current and future mitigation strategies.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- Strategic risk planning is a fundamental aspect of strategic planning and essential to the successful implementation of the University's Strategic Plan.

CONSULTATION:

- SLT – December 2018
- Risk Owners – January – April 2019
- SLT – April 2019

COMPLIANCE WITH POLICY/LEGISLATION:

- The identification and assignment of the University Strategic Risks promotes compliance with the University's Risk Management Policy.

NEXT STEPS:

- Work with SLT to assign a calculated risk level to each Strategic Risk.
- Risk Management team to develop a process map of Operational Risks to Strategic Risks.
- Present the updated Strategic Risk Plan to SLT for discussion and to confirm its adequacy prior to returning to this Committee and the Board.