# Ontario Tech UNIVERSITY

**BOARD OF GOVERNORS' 120th REGULAR MEETING &**
**ANNUAL GENERAL MEETING**

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**AGENDA**
**Thursday, June 24, 2021**
**9:00 a.m. to 1:30 p.m.**
**Video Conference**
**+1.888.240.2560  Meeting ID:  638 164 745**

| 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 | 5 | 9:05 a.m. |
| 5 | | **President's Report** | Steven Murphy | 10 | 9:10 a.m. |
| 6 | | **Academic Council** | Ferdinand Jones | 30 | 9:20 a.m. |
| | 6.1 | Master of Business Analytics and AI Program Proposal* (M) | | | |
| | 6.2 | Bachelor of Health Administration Program Proposal* (M) | | | |
| | 6.3 | Doctor of Education Program Proposal* (M) | | | |
| | 6.4 | Graduate Diploma in Police Leadership Program Proposal* (M) _(conditional upon recommendation of Academic Council)_ | | | |
| | 6.5 | Establishment of Institute for Disability and Rehabilitation Research* (M) _(conditional upon recommendation of Academic Council)_ | | | |
| 7 | | **Co-Populous Report** | Jim Wilson | 5 | 9:50 a.m. |
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| | | | | | |

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

| No. | | Topic | Lead | Allocated Time | Suggested Start Time |
|---|---|---|---|---|---|
| | | **Committee Reports** | | | |
| **8** | | **Audit & Finance Committee (A&F):** | Laura Elliott | 30 | 9:55 a.m. |
| | | **Finance** | | | |
| | 8.1 | 2020-2021 Audited Financial Statements* (M) | | | |
| | 8.2 | Internally Restricted Funds* (M) | | | |
| | 8.3 | Fourth Quarter Financial Reports* (U) | | | |
| | 8.4 | Amendments to Statement of Investment Policies* (M) | | | |
| | | **Risk, Compliance & Policy** | | | |
| | 8.5 | Signing Authority Policy* (M) | | | |
| | 8.6 | Annual University Risk Management Report* (U) | | | |
| | | **BREAK** | | **10** | **10:25 a.m.** |
| **9** | | **Governance Nominations & Human Resources Committee (GNHR):** | | | |
| | 9.1 | Review of Committee Structure* (M) | Maria Saros | 15 | 10:35 a.m. |
| | 9.2 | Annual Board Practices & Committee Assessments Overview* (D) | Maria Saros | 10 | 10:50 a.m. |
| | 9.3 | First Annual Human Rights Report* | Cheryl Foy | 10 | 11:00 a.m. |
| **10** | | **Investment Committee:** | | | |
| | 10.1 | Quarterly Report | Stephanie Chow | 5 | 11:10 a.m. |
| **11** | | **Strategy & Planning Committee (S&P)** | | | |
| | 11.1 | Strategic Retreat Debrief (D) | Thorsten Koseck | 10 | 11:15 a.m. |
| **12** | | **Consent Agenda: (M)** | Chair | 5 | 11:25 a.m. |
| | 12.1 | Amendments to By-law No. 1* | | | |
| | 12.2 | Board of Governors Recruitment, Appointment and Leadership Policy* | | | |
| | 12.3 | 2021-2022 Board Schedule* | | | |
| | 12.4 | Appointment of Board Secretary 2021-2022* | | | |
| | 12.5 | Minutes of Public Session of Board Meeting of April 22, 2021* | | | |

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

| No. | | Topic | Lead | Allocated Time | Suggested Start Time |
|---|---|---|---|---|---|
| | 12.6 | Minutes of Public Session of Audit & Finance Committee Meeting of April 14, 2021* | | | |
| | 12.7 | Minutes of Public Session of Governance, Nominations & Human Resources Committee Meeting of March 30, 2021* | | | |
| | 12.8 | Minutes of Public Session of Strategy & Planning Committee Meeting of March 18, 2021* | | | |
| | 12.9 | Minutes of Public Session of Investment Committee Meeting of February 17, 2021* | | | |
| | 12.10 | 2021-2022 Endowment Disbursement* | | | |
| | 12.11 | 2021-2022 Board & Committee Leadership* | | | |
| 13 | | **Information Items (also available on the Board portal):** | | | |
| | 13.1 | Academic Council Annual Report* | | | |
| | 13.2 | Project Updates* | | | |
| | 13.3 | A&F Annual Report* | | | |
| | 13.4 | Annual Insurance Report* | | | |
| | 13.5 | Annual Compliance Report* | | | |
| | 13.6 | Annual Policy Report* | | | |
| | 13.7 | Annual Privacy Report* | | | |
| | 13.8 | Investment Annual Report* | | | |
| | 13.9 | GNHR Annual Report* | | | |
| | 13.10 | Annual Report on Student Sexual Violence Policy Implementation* | | | |
| | 13.11 | Annual S&P Report* | | | |
| | 13.12 | Annual Board Chair Report* | | | |
| 14 | | **Other Business** | Chair | | |
| 15 | | **Adjournment (M)** | Chair | | 11:30 a.m. |
| | | **BREAK** | | **15** | **11:30 a.m.** |
| | | **NON-PUBLIC SESSION (material not publicly available)** | | | |
| | | **HAIL & FAREWELL** | Steven Murphy | 15 | 11:45 a.m. |
| 16 | | **Call to Order** | Chair | | 12:00 p.m. |
| 17 | | **Conflict of Interest Declaration** | Chair | | |

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

| No. | | Topic | Lead | Allocated Time | Suggested Start Time |
|---|---|---|---|---|---|
| **18** | | **Chair's Remarks** | Chair | | |
| | 18.1 | Durham College Board Engagement* (U) | | | |
| **19** | | **President's Report** | Steven Murphy | 10 | 12:15 p.m. |
| | | **Committee Reports (confidential items only)** | | | |
| **20** | | **A&F** | Laura Elliott | 5 | 12:25 p.m. |
| **21** | | **GNHR** | | | |
| | 21.1 | Board Renewals & Appointments* (M) | Maria Saros | 5 | 12:30 p.m. |
| **22** | | **Consent Agenda (M):** | Chair | 5 | 12:35 p.m. |
| | 22.1 | 2021-2022 Committee Membership* | | | |
| | 22.2 | Minutes of Non-Public Session of Board Meeting of April 22, 2021* (M) | | | |
| | 22.3 | Minutes of Non-Public Session of Audit & Finance Committee Meeting of April 14, 2021* | | | |
| | 22.4 | Minutes of Non-Public Session of Governance, Nominations & Human Resources Committee Meeting of March 30, 2021* | | | |
| | 22.5 | Minutes of Non-Public Session of Strategy & Planning Committee Meeting of March 18, 2021* | | | |
| | 22.6 | Minutes of Non-Public Session of Investment Committee Meeting of February 17, 2021* | | | |
| **23** | | **For Information:** | | | |
| | 23.1 | University Risk Management Annual Report – Confidential Attachments* | | | |
| | 23.2 | Annual Insurance Report – Confidential Attachments* | | | |
| | 23.3 | Annual Board Practices & Committee Assessments - Confidential Attachments* | | | |
| | 23.4 | Advancement Update* | | | |
| **24** | | **Other Business** | Chair | | |
| **25** | | ***In Camera* Session** | Chair | | 12:40 p.m. |
| | | President's Objectives 2020-2021/2021-2022 & Board Feedback* (D) | | | |
| | | Presidential Renewal Process* (U) | | | |
| **26** | | **Termination (M)** | Chair | | 1:30 p.m. |

Becky Dinwoodie, Secretary

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

***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* <u>*approved by means of one omnibus motion.*</u>

# BOARD REPORT

**ACTION REQUESTED:**

| | |
|---|---|
| **Recommendation** | ☐ |
| **Decision** | ☒ |
| **Discussion/Direction** | ☐ |
| **Information** | ☐ |

**DATE:** June 24, 2021

**FROM:** Academic Council

**SUBJECT:** New Program Proposal – Master of Business Analytics and AI

**MANDATE:**
In accordance with Article 1.4 of By-law No. 2, Academic Council will make recommendations to the Board on matters including the establishment or termination of degree programs.

Academic Council is seeking the Board's approval of the establishment of a Master of Business Analytics and AI program.

**MOTION FOR CONSIDERATION:**
*That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the Master of Business Analytics and AI program, as presented.*

**BACKGROUND/CONTEXT & RATIONALE:**
The proposed program prepares students for highly successful careers in a variety of business analytics careers in private and public sectors where data is used to make decisions. It is a 10-12 month full-time (just under two years, part-time) course-based professional master's program including 4 courses in the Fall, 4 courses in the Winter, and internship or comprehensive capstone projects in the Summer. The content of the degree will cover three main domains, which are applications of AI, Business Analytics and Management Opportunities. The program is targeted at graduates of Commerce or Business undergraduate degrees. Mode of delivery is hybrid / online with on-campus tutorials on selected weekends during the semester.

Although the Faculty of Business and IT offers a Master of IT Security and supervises the majority of the shared (with Faculties of Science & Engineering) Master and PhD in Computer Science students, it currently has no graduate programs that serve its own

Commerce graduates. The proposed degree leverages strengths in information technology by providing a market oriented professional business master's degree. The Master of Business Analytics and AI will build upon the core functional knowledge learned in the undergraduate program with advanced analytics and AI solutions to business problems.

In order for the program to be accessible to working students, it is offered hybrid in class and online with tutorial sessions on campus on selected weekends. In order to accommodate working parents, care was taken to design the degree from the onset to be achievable at a 50% course progression speed (2 classes/ term).

This degree is an integral part of other new programs in the Faculty that are being developed such as the Master of Computational Finance, and the MSc/PhD in Business and IT. Courses from this degree can be utilized in the other FBIT professional or research programs, and it is anticipated that there will be resource efficiencies through joint program marketing and advising.  Surpluses from the professional programs will offset expenses from the research degrees.

The choice of program name is based on other programs in business schools and is reflective of its content which is Business Analytics and Artificial Intelligence.

**RESOURCES REQUIRED:**
The Faculty of Business and IT has the expertise and capability to deliver the program with existing faculty who would have to be reassigned to the MBAI from other teaching duties. It is anticipated that new hires may be needed to facilitate the increase in teaching capacity. There is also an expected need for some additional acquisitions for the Library. The budget summary for illustrative purposes shows estimated enrolments with corresponding expenses and the actual Faculty budget will be reviewed annually and determined based on the full environmental context. The Teaching Assistantships are a function of the student enrolment and are expected to alter as the numbers increase. All resource requirements have been reviewed by the Academic Resource Committee (ARC) and the program approved to proceed.

**CONSULTATION AND APPROVAL:**
Academic Resource Committee Review March 2021
Final Faculty Council Approval: 16 March 2021
FBIT Graduate Education Committee: March 2021
GSC: March 2021
Academic Council: April 27, 2021

**NEXT STEPS:**
- Pending the approval of the Board, the proposal must proceed through the following approval steps:
  - Ontario Universities Council on Quality Assurance
  - Ministry of Colleges and Universities
- The expected date of implementation is the fall semester of 2022

**SUPPORTING REFERENCE MATERIALS:**
- full Program Proposal (Appendices available upon request)

# University of Ontario Institute of Technology
# New Graduate Program Proposal

| Name of proposed program: | Master of Business Analytics and AI |
|---|---|
| Degree Designation/Credential: | MBAI |
| Faculty (where the program will be housed): | Faculty of Business and IT |
| Collaborating Faculty (if applicable): | |
| Program Delivery Location: | Hybrid Online and onsite at Ontario Tech University |
| Collaborating Institution(s) (if applicable): | |
| Proposed Program Start Date: | September 2022 |
| Proposal Contact: | Michael Bliemel |
| Prepared Date: | January 3, 2020 – Revised March 15, 2021 |

# Table of Contents

# 1    Introduction

**a)    Program Abstract**
*Please provide a brief overview of the proposed program, in 1000 characters or less, including:*
- *A clear statement of the purpose of the program*
- *Any program components, such as fields or pathways (note that fields and pathways are not required)*
- *Any distinctive elements, including alternative modes of delivery (including online)*

> Master of Business Analytics and AI prepares students for highly successful careers in a variety of business analytics careers in private and public sectors where data is used to make decisions.  It is a 10-12 month course-based professional master program including 4 courses in the Fall, 4 courses in the Winter, and internship or comprehensive capstone projects in the Summer. The content of the degree will cover three main domains which are applications of AI, Business Analytics and Management Opportunities. The program is targeted at graduates of Commerce or Business undergraduate degrees, and can be completed part-time in just under two years or full-time in 10-12 Months depending on the choice of internship or project. Mode of delivery is hybrid / online with on-campus tutorials on selected weekends during the semester.

**b)    Background and Rationale**
- *Identify what is being proposed and provide an academic rationale for the proposed program*
- *Explain the appropriateness of the program name and degree nomenclature; list any program fields, pathways, etc. (note that fields and pathways are not required)*
- *If applicable, describe the mode of delivery and how it will support students in achieving the learning objectives of the program*
- *Describe the ways in which the program fits into the broader array of program offerings*

> Although the Faculty of Business and IT offers a Master of IT Security and supervises the majority of the shared (with Faculties of Science & Engineering) Masters and PhD in Computer Science students, it currently has no graduate programs that serve our own Commerce graduates. This degree leverages our strengths in information technology by providing a market oriented professional business masters degree. Our undergraduate business majors include Marketing, Finance, Accounting, Human Resources and Technology Management. The Masters of Business Analytics and AI will build upon the core functional knowledge learned in the undergraduate program with advanced analytics and AI solutions to business problems.

In order for the program to be accessible to working students, it is offered hybrid in class and online with tutorial sessions on campus on selected weekends. In order to accommodate working parents, care was taken to design the degree from the onset to be achievable at a 50% course progression speed (2 classes/ term).

This degree is an integral part of our other new programs in the Faculty that are being developed such as the Master of Computational Finance, and the MSc/PhD in Business and IT. Courses from this degree can be utilized in the other FBIT professional or research programs, and we will have resource efficiencies through joint program marketing and advising Surpluses from the professional programs will offset expenses from our research degrees.

The choice of program name is based on other programs in business schools and is reflective of its content which is Business Analytics and Artificial Intelligence. The course code is MBAI which condenses the name into 4 letters for our information system.

c) **Mission, Vision, Strategic Plan, and Strategic Mandate Agreement**
   - *Describe how the program contributes to the University's Mission and Vision*
   - *Explain how the program aligns with the goals and priorities outlined in the Faculty's(ies') and University's Strategic Plans*
   - *Identify how the program fits within one or more areas of strength or growth in Ontario Tech University's Strategic Mandate Agreement*

The Master of Business Analytics and AI aligns with the University and Faculty priorities in being a market driven degree in an in-demand field that is at the intersection of Technology and Business. It fits the FBIT mission nicely which is "To prepare students with the skills, knowledge and networks that they need to succeed in today's workplace as well as the ability to continue to learn and adapt to the needs of the workplaces of the future." , "To leverage our strengths in business transformation, digital economy, data analytics and artificial intelligence, and digital technologies for good; to improve productivity through innovation while being mindful that the impact of technology shall also improve the quality of life." , "To create value for the university and the province by creating new knowledge through research excellence, by building communities with our neighbours, and by growing talent pipelines with industry partners".

The program will also align well with the "Tech with a Conscience" brand as it covers both the ethical / social as well as the technical components. Further the degree fits with the strategic mandate agreement in the area of strength in Information and Communication Technology and Informatics. The MBAI fits our Ontario Tech Vision in several ways, especially to "Provide superior undergraduate and graduate programs that are technology enriched and responsive to the needs of students and the evolving workplace". At this time there is no such program in Durham Region.

d) **Student Demand**
- *Provide evidence of student demand, including number of prospective student inquiries; applications and registrations for similar programs; results from surveys/focus groups of existing students, graduates, or professionals in the field*
- *Include information about domestic vs. international student interest*

According to Graduate Management Admission Council (https://www.gmac.com/-/media/files/gmac/research/admissions-and-application-trends/application-trends-survey-report-2019.pdf), Master of Data Analytics programs grew their total application volume in 2019 by 53%across 75 US programs that use the GMAT as admission requirements, while most MBA programs saw declines in applications again. Business Masters of Data Analytics is the second most popular program and the median number of applications for each seat was 4.1 to 1, with a 57% Median Acceptance Rate, indicating an overall healthy demand in the US that was mirrored in the Ontario market which is only served by a few small programs at this time; most of which are very new with limited data. Maclean's (https://www.macleans.ca/education/specialized-graduate-school-business-program-mba-requirements/) reports that the McGill Program in Master of Management Analytics saw 547 applications for a class of 55 students most recently. Similar ratios have been informally reported by programs in the Ontario market.

*Enrolment Information*
- *Provide information regarding enrolment projections and complete Table 1*

The numbers below are the anticipated of new enrollments / year

## Table 1: Projected Enrollment by Academic and Program Year

| Level of Study | Master's year 1 | Master's year 2 | Ph.D. year 1 | Ph.D. year 2 | Ph.D. year 3 | Ph.D. year 4 | Ph.D. year 5 | Total Enrolment |
|---|---|---|---|---|---|---|---|---|
| Academic Year 2022 – 2023 | 15 | | | | | | | 15 |
| Academic Year 2023 – 2024 | 20 | | | | | | | 20 |
| Academic Year 2024 – 2025 | 25 | | | | | | | 25 |
| Academic Year 2025 – 2026 | 30 | | | | | | | 30 |
| Academic Year 2026 – 2027 | 35 | | | | | | | 35 |
| Academic Year 2027 – 2028 | 40 | | | | | | | 40 |

**e) Societal Need**
- *Evidence of the need for graduates of the program and in which fields (within academic, public, and/or private sectors)*
- *Please indicate up to three occupations in which graduates from this proposed program may be employed using the Ontario Job Futures website*
- *For professional programs, a description of the program's congruence with current regulatory requirements*
- *Mention if any employers in the area support the need for this program and include a letter of support as an additional appendix.*

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The amount of data being generated every day is staggering, at over 2.5 quintillion bytes of data coming from our activities on the web and from devices embedded everywhere ( https://www.forbes.com/sites/bernardmarr/2018/05/21/how-much-data-do-we-create-every-day-the-mind-blowing-stats-everyone-should-read/). There is an increased need in understanding how to work with data to increase our ability to make sense of business, society and the planet. The Master of Business Analytics and AI will create graduates who can work with tools and methods to equip organizations to make sense of the past and predict the future using advanced analytics and AI. Graduates will also become trained in how to manage the data as well as the legal, ethical and moral issues surrounding the use of digital information in its many forms that include sensor data, images, text, voice and video.

Many businesses struggle to hire employee with data and business analytics skills, with the Asia-Pacific Economic Cooperation projecting a workforce demand of 43,300 workers needed in Canada only by 2020 https://www.apec.org/-/media/APEC/Publications/2017/11/Data-Science-and-Analytics-Skills-Shortage/217_HRD_Data-Science-and-Analytics-Skills-Shortage.pdf).

As for Ontario, the Ontario Job Futures website lists 3 occupations that could be filled by graduates of the MBAI. These are Computer and Information Systems Managers (growth rate= 14-15%, 9000-10000 openings), Database Analysts and Data Administrators (growth rate= 14-15%, 3000-4000 openings), and Information Systems Analysts and Consultants (growth rate = 10-11%, 15000-20000 openings).

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| Occupation ⬇ | Outlook rating ⬆⬇ | Median income ⬆⬇ | Skill level ⬆⬇ |
|---|---|---|---|
| ☑ Computer and information systems managers <br> Computer and information systems managers plan, organize, direct, control and evaluate the activities of organizations that analyze, design, develop, ... | Above average | $108,297 | University education |
| ☑ Database analysts and data administrators <br> Database analysts design, develop and administer data management solutions using database management software. Data administrators develop and impleme ... | Above average | $83,370 | University education |
| ☑ Information systems analysts and consultants <br> Information systems analysts and consultants analyze and test systems requirements, develop and implement information systems development plans, polic ... | Above average | $82,224 | University education |

While there is no professional regulatory requirement for Business Analytics professions yet, some standards are emerging such as the Certified Analytics Professional from INFORMS or the SAS Certified designations. The body of knowledge in this degree covers the topics tested in those professional tests and it is anticipated that a subset of students will pursue credentials in parallel with the Masters, which will be encouraged after they complete the appropriate classes.

f) **Duplication**
- *Describe how the program is distinct from other programs at Ontario Tech. Is it reasonable to anticipate this program might affect enrolment in other related programs? If so, how might this be addressed?*
- *Identify similar or complementary programs offered elsewhere in Ontario in Table 2. Provide additional comment on the justification for this duplication.*

The are no other graduate programs at Ontario Tech that cover Business Analytics and Applications of AI in business. Ontario Tech has no other graduate programs open to Commerce/ Business students.

# Table 2: List of Similar Programs in Ontario

| Institution Name | Credential Level and Program Name |
|---|---|
| University of Toronto (Rotman) | Master of Management Analytics |

**Link to Program Web Page:** https://www.rotman.utoronto.ca/Degrees/MastersPrograms/MMA
**Brief Program Description:**
9-month full time Master of Analytics program.
**What differentiates the new program from this existing program:**
Class mode of the Rotman MMA is on campus targeting full time learners without a part time option
Domestic Tuition: $41,400, International: $64,580

| Institution Name | Credential Level and Program Name |
|---|---|
| Queen's University (Smith) | Master of Management Analytics |

**Link to Program Web Page:** https://smith.queensu.ca/grad_studies/mma/program/mma-toronto/index.php

**Brief Program Description:**

12-month Master of Analytics program with evening and weekend offerings.

**What differentiates the new program from this existing program:**

Queen's MMA has less emphasis on technology and management issues than the Ontario Tech MBAI does.
Domestic Tuition: $42,905, International: $72,500

| Institution Name | Credential Level and Program Name |
|---|---|
| York University (Schulich) | Master of Business Analytics |

**Link to Program Web Page:** https://schulich.yorku.ca/programs/mban/

**Brief Program Description:**

12-month May entry fulltime business analytics program with an emphasis on predictive modelling and data science.

**What differentiates the new program from this existing program:**

Class mode for the Schulich MBAN is full time only, with elective courses from other Schulich graduate programs.
Domestic Tuition: $53,736, International: $76,185

# 2  Program Requirements

a) **Admission Requirements**
- *Outline the formal admission requirements; explain how these are appropriate for the program learning outcomes: How will they help to ensure students are successful? How do they align with the learning outcomes of the program?*
- *Explain any additional requirements for admission to the program such as special language, portfolio, etc. (and how the program recognizes prior work or learning experience, if applicable)*
- *Indicate the programs from which students may be drawn*

> While applicants may hold any four-year honours undergraduate degree (or its equivalent from a recognized institution), preference is given to applicants whose undergraduate degree is in the field of business, management, economics, Informatics or related fields.
> -Minimum overall academic standing of a B (GPA: 3.0 on a 4.3 scale or 73 to 76 per cent), with a minimum B average in the last two full-time years (four semesters) of undergraduate work or equivalent. Work experience or a strong GMAT can be used in lieu of the GPA requirement
> -Successful completion of at least one course in information systems and one course in advanced mathematics (e.g., linear algebra, calculus, statistics etc.)
> -For non-English degree of study, the IELTS test of 7.0 or TOEFL of 100 is required

**b) Program Learning Outcomes and Assessment of Student Knowledge**
- *In Table 3 below, please describe what the student will know or be able to do (knowledge, methodologies, and skills) by the end of the program and indicate how that knowledge or skill will be demonstrated*
- *An example has been provided in* purple *in the first row and can be removed.*
- ***Connect with the Quality Enhancement Analyst in CIQE ([ciqe@ontariotechu.ca](mailto:ciqe@ontariotechu.ca)) early in the program development to review learning outcomes.***

*Degree Level Expectations are set by the Quality Council of Ontario and should not be modified. For the list of and more information on these expectations, including a detailed description, visit their [website.](website)*

## Table 3: Program Learning Outcomes

| Program Learning Outcomes By the end of the program, students graduating will be able to… (normally 6-8 outcomes per program with 12 being the maximum) | Degree Level Expectations (list all that apply; you must align with each expectation at least once) | Relevant courses (provide course code and course title) | Assessment of Learning Outcomes (e.g. test, rubric, self-assessment, etc.) |
|---|---|---|---|
| Design and construct appropriate analytics solutions to solve business problems for data-driven decision making | Depth and breadth of knowledge; Research and scholarship; Level of application of knowledge; Professional capacity/autonomy | MBAI 5100 Business Analytics | Term projects, tests, and presentations |
| Conceptualize and produce impactful presentations to communicate complex information to various stakeholders using data driven storytelling | Level of application of knowledge; Level of communications skills; Awareness of limits of knowledge | MBAI 5400 Visualization and Storytelling | Applied assignments, practical tests and presentations |
| Examine, adapt, and appraise machine learning and AI models for business problems utilizing commercial and open source technologies | Depth and breadth of knowledge; Research and scholarship; Level of application of knowledge | MBAI 5100 Business Analytics MBAI 5310 Artificial Intelligence Programming | Term projects, practical tests and critical analysis papers |
| Systematically examine implications of analytic models from multiple perspectives including identifying issues strategic value, business ethics, bias, privacy, trustworthiness and fairness | Depth and breadth of knowledge; Level of application of knowledge; Awareness of limits of knowledge; Professional capacity/autonomy | MBAI 5100 Business Analytics MBAI 5200 Ethical and Legal Issues in Analytics and AI MBAI 5100 Business Analytics MBAI 5410 Digital Transformation | Tests, critical analysis papers and presentations |

| | | MBAI 5500 Security, Privacy and Trust in AI Systems | |
|---|---|---|---|
| Analyze data and use principles of database design implementation and administration | Depth and breadth of knowledge; Research and scholarship; Level of application of knowledge | MBAI 5300 Programming and Data Processing MBAI 5110 Big Data Systems Design | Tests, business cases, applied projects |
| Critically examine data quality and combine multiple data sources and formats in preparation of ingesting data into analytic models | Depth and breadth of knowledge; Research and scholarship; Level of application of knowledge | MBAI 5300 Programming and Data Processing MBAI 5110 Big Data Systems Design | Practical tests and applied projects |
| Create solutions using AI & analytics in new and existing business processes | Research and scholarship; Level of application of knowledge; Level of communications skills | MBAI 5410 Digital Transformation | Business cases, projects and presentations |
| Systematically appraise and contrast the significance and reliability of competing models and analytics methodologies | Research and scholarship; Level of application of knowledge; Level of communications skills | MBAI 5100 Business Analytics MBAI 5310 Artificial Intelligence Programming | Assignments, tests, applied projects, presentations |
| Develop a cognizance of the complexity of a complete data modelling project lifecycle from opportunity recognition & scoping to model maintenance and drift determination | Depth and breadth of knowledge; Professional capacity/autonomy; Awareness of limits of knowledge | MBAI 5110 Big Data Systems Design MBAI 5410 Digital Transformation | Business cases, projects and presentations |

- *Selecting a few examples from above, explain in detail how the program design and requirements support the attainment of the Program Learning Outcomes*
- *With assistance from the Academic Planning Officer in CIQE (ciqe@ontariotechu.ca), please provide further details on the Assessment of the Program Learning Outcomes, as outlined in the Quality Council's Quality Assurance Framework Section 2.1.6 - Assessment of teaching and learning:*

o *Appropriateness of the proposed methods for the assessment of student achievement of the intended program learning outcomes and Degree Level Expectations (How will students demonstrate they have learned and can do what we expect them to by the end of the program?).*

o *Completeness of plans for documenting and demonstrating the level of performance of students, consistent with the Degree Level Expectations (How will the effectiveness of the program be assessed?)*

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The very nature of the program is applied and the approach to instruction is very hands on with practical examples using state of the art software for analytics and AI. "Learning by doing" is the dominant approach of instruction, with an emphasis of critical reflection on the experiential learning.

For example, the knowledge of statistical concepts and techniques, is taught in MBAI 5100 Business Analytics and MBAI 5310 Artificial Intelligence Programming using many practical examples of problems solved in class to teach how different techniques work. This is followed by applied projects where different approaches are compared and contrasted by students independently, and they deliver project results in written reports and presentations to demonstrate the depth of their knowledge of statistical concepts and techniques.

Another example is the learning outcome, knowledge of visualisation approaches and the art of persuasion. This topic is covered in MBAI 5400 Visualization and Storytelling, through a series of practical exercises where students learn how to interpret, evaluate and communicate data using advanced graphics in state-of-the-art software. Students also learn how audiences interpret complexity, and what best practices are for visual communication. Students demonstrate their knowledge through applied assignments, practical tests, and presentations.

A third example is, knowledge of legal, ethics, bias, privacy and trust principles in analytics, which is covered in MBAI 5200 Ethical and Legal Issues in Analytics and AI MBAI 5500 Security, Privacy and Trust in AI Systems. Here students learn about topics using critical discourse, cases and research papers examining multiple issues around the use of analytics. Students demonstrate their learning outcomes through written tests, critical analysis papers and presentations throughout the classes.

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c) **Program Structure and Content**
- *Describe the requirements and structure of the program. Is it full-time/part-time? Is this an online or partially online program? What are the unique curriculum or program innovations or creative components in this program?*
- *Provide evidence that each graduate student is required to take a minimum of two-thirds of the course requirements from among graduate-level courses*

- *What is the program length? Provide a rationale for the length that ensures the program requirements can be reasonably completed*
- *Address how the programs structure will help students to meet the program learning outcomes and Degree Level Expectations*

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The program is designed to be completed in 10-12 months depending on students choosing to do the 2-month comprehensive capstone project or take up a 4-month internship over the summer.

Courses are structured to be hybrid online with asynchronous lecture components as well as synchronous online or on campus discussions & presentations. Tutorials covering the application of technical tools will take place on campus with a remote participation option available for distance learners.

Courses are all new graduate classes, with the content and sequence of topics laid out in a logical way throughout the newly designed classes which cover the managerial and legal issues, technical skills, and applications of emerging technologies for Analytics and AI in Business. The learning outcomes are based on best practice of other programs in this space, guidelines from literature as well as the unique strengths of our Business and IT Faculty spanning Legal, Privacy, Ethical, Big Data Management, Statistics, Design Thinking, Visualisation, Digital Transformation and AI Programming specialties. What sets this program apart from others in this space, is that these courses are newly designed from the ground up in an integrative way by multidisciplinary faculty. No other Business school has as many Computer Scientists integrated in it, and this is something we intend to leverage in the delivery of the program through the use of the dual lens of business and IT in applied course projects.

All students will participate in a 3-day intensive orientation bootcamp in early September that will prepare students for the program and review social competencies, such as teamwork, presentation skills, case methodology; functional competencies, such as programming in python, calculus and linear algebra, and statistics; and cognitive competencies such as AI and its value to business, and ethics and fairness in algorithmic decision making. Details included in Appendix E.

The program structure for full time students is as follows:

**Fall**
MBAI 5100 Business Analytics (3CR)
MBAI 5200 Ethical and Legal Issues in Analytics and AI (3CR)
MBAI 5300 Programming and Data Processing (3CR)
MBAI 5400 Visualization and Storytelling (3CR)

**Winter**
MBAI 5110 Big Data Systems Design (3CR)

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MBAI 5500 Security, Privacy and Trust in AI Systems (3CR)
MBAI 5310 Artificial Intelligence Programming (3CR)
MBAI 5410 Digital Transformation (3CR)
**Spring**
MBAI 5600 Applied Integrative Analytics Project or MBAI 5700 Business Analytics Internship*(6CR)

The program can also be completed part-time following the sequence below:

**Fall YR1**
MBAI 5100 Business Analytics (3CR)
MBAI 5400 Visualization and Storytelling (3CR)
**Winter YR1**
MBAI 5110 Big Data Systems Design (3CR)
MBAI 5410 Digital Transformation (3CR)
**Fall YR2**
MBAI 5200 Ethical and Legal Issues in Analytics and AI (3CR)
MBAI 5300 Programming and Data Processing (3CR)
**Winter YR2**
MBAI 5500 Security, Privacy and Trust in AI Systems (3CR)
MBAI 5310 Artificial Intelligence Programming (3CR)
**Spring  YR2**
MBAI 5600 Applied Integrative Analytics Project or MBAI 5700 Business Analytics Internship*(6CR)

- *Describe the ways in which the curriculum addresses the current state of the discipline*
- *For researched-focused graduate programs, provide a clear indication of the nature and suitability of the major research requirements for degree completion*

Business Analytics programs are relatively new in Ontario with most less than 5 years old. We have based our curriculum on best practices within the province as well as international masters of business analytics degrees. The learning outcomes meet the Certified Analytics Professional content by INFORMS, and cover newer topics in Artificial Intelligence from both the practical applications, strategic digital transformation opportunities and an exploration of the management and societal issues surrounding AI.

- *Is there an experiential learning component (e.g. workplace learning, co-op, internship, field placements, service learning, mandatory professional practice) to the program? If yes, please describe this component in 2500 words or less. Include confirmed partners,*

*duration of the experiential learning component(s), and projected number of placements (where applicable)*

> The program culminates with the choice of a capstone project or an internship. The capstone project is completed in the spring term in an intensive pass/fail course over an 8-week period.
>
> The Internship option can vary in duration from 4 to 16 months depending on the nature of the position, the needs of the employer and the student.

- *Describe how the potential need to provide accessibility accommodations has been considered in the development of this program*

> Learning outcomes assessment is deliberately not exam based with an emphasis on projects and experiential learning. This will provide the greatest flexibility to address potential accessibility accommodations.

d) **Calendar Copy with Program Map(s)**
- *Provide, as Appendix A, a clear and full calendar copy. Please use the template provided in Appendix A to create the Calendar Copy for the new program. This template ensures consistency across all programs in the Academic Calendar*
  - *If the program is to be accredited, include with this Appendix the accreditation tables, if available*
- *Provide, as Appendix B, a full list of the all courses included in the program including course numbers, titles, and descriptions. Please indicate clearly whether they are new/existing. Include full course proposals for new courses, and the most recent course syllabi for existing courses. If you are making changes to existing courses, include instead a course change form.*

> Please see Appendix A for proposed calendar copy.
>
> Please see Appendix B for new course proposals.

# 3   Consultation

- *Describe the expected impact of the new program on the nature and quality of other programs delivered by the home and collaborating Faculty(ies) and any expected impact on programs offered by other Faculties*
- *Outline the process of consultation with the Deans of Faculties that will be implicated or affected by the creation of the proposed program*

● *Provide letters of support for the program from Deans at Ontario Tech and/or from other institutions/partners*

There is no anticipated impact on existing programs.

Does this Program/Change contain any Indigenous content?     ☐ Yes     ☒ No     ☐ Unsure

*For more information on how Indigenous content is defined at Ontario Tech University and how to consult with the Indigenous Education Advisory Circle (IEAC), please refer to the Protocol for Consultation with the Indigenous Education Advisory Circle.*

Has the IEAC been contacted     ☐ Yes   ☒ No

If yes, when?

What was the advice you received from the IEAC, and how has it been included in your proposal?

Did the IEAC ask you to return the proposal to them for review?   ☐ Yes     ☐ No

If yes, have they completed their review?     ☐ Yes     ☐ No   ☐ N/A

# 4   Resource Requirements

a) **General Resource Considerations**
   ● *Note here if this new program may impact significant enrolment agreements with the Faculty/Provost's office.*
   ● *Indicate if the new program will affect any existing agreements with other institutions, or will require the creation of a new agreement. Please consult with CIQE (ciqe@uoit.ca) regarding any implications to existing or new agreements.*

The program does not impact any agreements with other institutions.

b) **Faculty Members - Current and New Faculty Requirements**
   ● *Brief statement to provide evidence of the participation of a sufficient number and quality of faculty who will actively participate in the delivery of the program*
   ● *The role of any sessional faculty*

- *The provision of supervision of experiential learning opportunities; how will supervisory loads be distributed?*
- *The plan to provide additional faculty resources to support the program, if needed*
- *Complete Appendix C, detailing the list of faculty committed to the program (template in Appendix) and provide any additional details, if necessary; the information in the Appendix or additional information must include clear evidence that faculty have the recent research or professional/clinical expertise needed to sustain the program, promote innovation, and foster an appropriate intellectual climate.*
- *Indicate that faculty CVs are included in Appendix D, and please provide CVs for all faculty committed to the program*

> The Faculty of Business and IT has the expertise and capability to deliver the program with existing faculty who would have to be reassigned to the MBAI from other teaching duties. The budget allocates two hires to facilitate this increase in teaching capacity in the Faculty as part of our growth strategy (Please refer to Section 4 g) on page 21). As this is a professional, premium priced program we will not utilize sessional faculty to ensure quality. Sessional hires indicated in the first years of the budget will be utilized to cover undergraduate courses, freeing up FBIT experts to teach in the Graduate Programs. Please see Appendix C for detailed faculty information.

c) **Additional academic and non-academic human resources**
- *Give details regarding the nature and level of Sessional Instructor and TA support required by the program, the level of administrative and academic advising support, etc.*
- *Please describe the plan to provide additional resources to support the program, if needed*

> Support for the delivery of the program will include a budget for TAs, new faculty, as well as a Graduate Student Advisor who will also serve FBIT grad students in the MITS, MCS, and future degree programs. (Please refer to Section 4 g) on page 21)

d) **Existing non-financial student supports**
All graduate students have access to an extensive support system that ensures a quality student experience. In addition to the outlined services below, students may also take advantage of the Campus Childcare Centre, Campus Bookstores, Housing and Living Resources, as well as the Student Union. Further information can be found at:
http://studentlife.uoit.ca/

**Faculty-Specific Support**

***Academic Advising (if relevant)***
*Please provide details on your Faculty Academic Advising Office and supports.*

Currently graduate academic advising in existing graduate programs is done by the program director. As part of this proposal FBIT budgeted to hire a Graduate Academic Advisor who will support the program director with administration, student process management, and recruitment initiatives for all the graduate programs in FBIT.

## School of Graduate and Post-Doctoral Studies

Quality graduate and postdoctoral education combines teaching, research, professional development, disciplinary community involvement and personal growth.  It is by nature a shared responsibility between students, faculty members, the programs and a large number of support units, with overarching administration being provided by the School of Graduate and Postdoctoral Studies.

The School of Graduate and Postdoctoral Studies furthers the scholarly mission of the university by providing academic and administrative support to the university's postgraduate educational, research, innovation and international activities. Our responsibilities include graduate program development, graduate enrolment management, oversight of academic and quality standards, and the implementation of policies and practices that enhance graduate/postdoctoral scholarly success, career readiness and personal growth. SGPS supports prospective, new and current graduate students through many administrative services including, but not limited to, recruitment, admission, registration, funding and scholarships, orientation, professional development workshops and events, and processing of final theses, projects and papers. SGPS is a single-point-of-contact, multifunctional administrative unit tailored to the complete "life-cycle" of graduate students, providing coordinated support to students and all other stakeholders.

## Student Life

### Student Learning Centre
The Student Learning Centre fosters a high level of academic excellence in the Ontario Tech community by working with all Ontario Tech students, undergraduate and graduate, to achieve educational success. Foundational knowledge and prerequisite skills are essential to all university level courses, and competency with these skills is vital for strong academic performance. The subject specialists offer support services in mathematics, writing, study skills, ESL and physics. With the additional support of peer tutors and workshops, the Centre can further accommodate the needs of a specific course or program.
http://studentlife.uoit.ca/student-learning/

### Student Accessibility Services
The staff work as a collaborative team to ensure students with disabilities have equal opportunities for academic success. The SAS operates under the Ontario Human Rights Code (OHRC) and the Accessibility for Ontarians with Disabilities Act (AODA). Services are provided for students with documented disabilities. Accommodation supports include but are not limited to:

- Adaptive technology training;
- Alternate format course material;
- Learning skills support;

- Testing support; and
- Transition support for incoming students.

### *Careers and Internships*

The Career Centre offers comprehensive career service assistance and a variety of valuable resources to help students along their career paths:

- Assistance with creating effective job-search documents;
- Career Counselling;

- Interview preparation;
- Job market information; and
- Job search strategies.

A variety of events hosted on campus during the academic year including employer information and networking sessions, job fairs, and interviews conducted by leading employers.

### *Student Engagement and Equity*

The Student Engagement and Equity supports students' successful transition into the university and provides opportunities for them develop your leadership and professional skills throughout their university career.

Services provided through Student Engagement and Equity includes:

- Orientation and events through first year
- Specialized programming for first generation, graduate, indigenous, international, mature, online, transfer, and diploma-to-degree pathways students

- Equity and inclusivity programming
- Assistance and advice for living off campus
- Peer mentoring to help students through first year
- Opportunities to grow and develop leadership skills through the Ambassador program.

### *Student Mental Health Services*

Student Mental Health Services helps students learn how to better manage the pressures of student life. Students can:

- Attend a drop-in session;
- Participate in events and activities that promote positive health and well-being;
- Access tools and resources online to learn about mental health and how to maintain good health and wellness;

- Work with a mental health professional to address concerns;
- Contact the Student Lifeline for immediate help and assistance; and
- Get answers to frequently asked questions about mental health.

Student Mental Health Services offers short-term counselling and therapy services to students. Students in distress will also be provided support and counselling as needed. There is no cost and services are confidential. For students who need long-term counselling support or specialized mental health services, UOIT will provide referrals to assist the student in accessing resources in the local community or in the student's home community.

*Athletics and Recreation Faculties*

UOIT offers a number of recreation facilities and fitness opportunities to meet all lifestyles and needs. On-campus facilities include the state-of-the-art FLEX Fitness Centre which overlooks Oshawa Creek, five gymnasiums, a 200-metre indoor track, two aerobic/dance studios, the Campus Ice Centre, Campus Fieldhouse, a soccer pitch, a fastball diamond, squash courts and an indoor golf-training centre.

*Campus Health Centre*

The Campus Health Centre provides assistance in numerous confidential health-care options including:

- A medical clinic with daily access to physician and nursing staff;
- Allergy injections, immunizations and influenza injections;
- An on-site laboratory (blood work, STI testing, throat swabs, etc.);
- Treatment of disease, illness and injury;
- Complementary Health Services featuring acupuncture, chiropractic, custom orthotics, massage therapy, nutritional counselling and physical therapy; and
- Gynaecological health-care and prescriptions.

*Student Awards and Financial Aid*

Student Awards and Financial Aid (SAFA) is dedicated to helping students understand the variety of options available to finance their education. Budgeting and financial planning are essential to their success and Student Awards and Financial Aid is on hand to help create the right financial plan. Financial assistance can be in the form of bursaries, employment (both oncampus and off), parental resources, scholarships, student lines of credit and the Ontario Student Assistance Program (OSAP).

**Information Technology Resources**

IT Services strives to provide quality services to students at Ontario Tech. To support these objectives, the following components are included:

- Wireless network
- Wired network
- IT Service Desk
- General workstations
- Printing services

*Wireless network*

Wireless internet connection is available in public areas and open-air locations around the Ontario Tech campus where students congregate (North Oshawa and Downtown locations).

*Wired network*

To ensure the success of the technology-enriched learning environment, a comprehensive data network has been installed on campus. This includes a network drops in lecture halls and designated areas as well as network drops for each residence suite.

Ontario Tech students benefit from networked classrooms and learning spaces. Each ergonomically-designed space has data network connection access and electrical connections to ensure battery regeneration. In addition, classrooms include electronic projection equipment and full multimedia support.

**Teaching & Learning Centre**

The mission of the Teaching and Learning Centre (TLC) at Ontario Tech is to empower faculty to reach their potential as educators and to create a culture where effective teaching is valued. We champion the scholarship of teaching and implementation of pedagogy.  We create valuable teaching and learning professional development experiences.  We move UOIT towards being a leader in teaching excellence, ultimately leading to greater student success.

The TLC provides faculty with a range of tools and facilities to assist them in providing a rich learning experience for students. Experts at the TLC provide support in various areas including curriculum development, multimedia design, learning technology and in the overall improvement of teaching practice.

In addition, the TLC funds teaching-related projects from the Teaching Innovation Fund (TIF) for proposals by faculty members aimed at developing new methods in teaching and learning. The TLC facilitates teaching awards at the University and supports faculty in their application for external awards and funding opportunities that focus on teaching and learning.

e) **Graduate student financial support**
  - *Provide evidence that financial assistance will be sufficient to ensure quality and numbers of students*
  - *Provide the teaching assistant hours and capacity within the Faculty*
  - *Refer to the Business Plan (Section 4g) where appropriate*

> This is not a thesis graduate program and we do not intend to provide direct financial support to students initially. We will seek out support from industry partners for scholarship opportunities and work with local financial institutions to secure financing options for students.

**f) Physical resource requirements**

> We do not anticipate additional space requirements. Library report is attached as Appendix D. We will require $2500 in additional acquisitions to support the MBAI program with up-to-date materials as per library recommendation.

**g) Business Plan**
- *Provide a brief statement of the funding requirements, and insert the Program Summary tab from the Graduate Program Proposal Budget spreadsheet here as Table 4 or attach a copy as Appendix F. Also, please submit a copy of the full Excel document to CIQE, as an attachment.*
- *Complete the highlighted sections of the New Program Funding and Tuition form and submit the form to CIQE as soon as possible*

> The enclosed budget is for illustrative purposes only to show estimated enrolments with corresponding expenses. The actual faculty budget will be reviewed annually and determined based on the full environmental context.
>
> The Teaching Assistantships are a function of the student enrolment and are expected to alter as the numbers increase.

## Table 4: New Degree Program Proposed Budget Summary

| Enrolment | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Fulltime Equivalent | 15 | 20 | 25 | 30 | 35 | 40 |
| **TOTAL New Students** | **15** | **20** | **25** | **30** | **35** | **40** |

| Revenue | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Domestic Tuition | 304,434 | 414,030 | 527,889 | 646,136 | 768,901 | 896,319 |
| International Tuition | 154,247 | 209,775 | 267,464 | 327,375 | 389,577 | 454,135 |
| Grant | 78,293 | 82,782 | 111,274 | 133,529 | 155,783 | 178,038 |
| **Total Revenue** | **536,974** | **706,588** | **$906,626** | **1,107,040** | **1,314,261** | **1,528,493** |

| Course Summary | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| # of lecture sections | 10 | 10 | 10 | 10 | 10 | 10 |

| Required Hires | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| **# of TTT** | 0 | 1 | 2 | 2 | 2 | 2 |
| **# of PT Faculty** | 10 | 7 | 3 | 2 | 2 | 2 |

| Expenses Academic Salaries | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| **FT Faculty** | 0 | 139,113 | 286,573 | 295,170 | 304,025 | 313,146 |
| FT Benefits (18.5%) | 0 | 25,736 | 53,016 | 54,606 | 56,245 | 57,932 |
| **FT Total** | 0 | 164,849 | 339,588 | 349,776 | 360,269 | 371,077 |
| | | | | | | |
| **PT Faculty** | 88,915 | 65,353 | 29,409 | 20,586 | 21,615 | 22,696 |
| Additional TAships | 47,902 | 67,062 | 88,019 | 110,904 | 135,858 | 163,029 |
| PT Benefits (11%) | 15,050 | 14,566 | 12,917 | 14,464 | 17,322 | 20,430 |
| **PT Total** | **151,867** | **146,981** | **130,345** | **145,954** | **174,795** | **206,155** |
| **Total Academic Salaries** | **151,867** | **311,829** | **469,934** | **495,730** | **535,065** | **577,233** |

| Support Staff Salaries | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Graduate Programs Advisor | 70,800 | 72,216 | 73,660 | 75,134 | 76,636 | 78,169 |
| **Benefits (18.5%)** | 13,098 | 13,360 | 13,627 | 13,900 | 14,178 | 14,461 |
| **Total Support Staff Salaries** | **83,898** | **85,576** | **87,287** | **89,033** | **90,814** | **92,630** |

| Operational Expense | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Instructional Supplies | 6,000 | 8,000 | 10,000 | 12,000 | 14,000 | 16,000 |
| Start-up | 0 | 10,000 | 10,000 | 0 | 0 | 0 |
| PD ($2,000/ faculty) | 0 | 2,000 | 4,000 | 4,000 | 4,000 | 4,000 |
| Travel | 8,000 | 8,500 | 4,500 | 5,000 | 5,500 | 6,000 |
| Recruitment/Moving Expenses | 0 | 10,000 | 10,000 | 0 | 0 | 0 |
| Promotion | 50,000 | 25,000 | 10,000 | 10,000 | 10,000 | 10,000 |
| Telecommunication | 500 | 500 | 500 | 500 | 500 | 500 |
| Office Supplies | 1,500 | 1,500 | 1,500 | 1,500 | 1,500 | 1,500 |
| Orientation Bootcamp | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 |
| Library Acquisitions | 2,500 | 0 | 0 | 0 | 0 | 0 |
| **TOTAL Operating** | **93,500** | **90,500** | **75,500** | **58,000** | **60,500** | **63,000** |

| | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| **Total Expenses** | **329,265** | **487,905** | **632,721** | **642,764** | **686,379** | **732,863** |
| **NET Income with Grant** | **207,709** | **218,682** | **273,905** | **464,276** | **627,883** | **795,630** |
| **NET Income without Grant** | **129,416** | **135,900** | **162,631** | **330,747** | **472,100** | **617,592** |

# 5   Quality and Other Indicators

- *Please describe the appropriateness of the collective faculty expertise to contribute substantively to the proposed program; areas of faculty strength and expertise, innovation, and scholarly record will contribute to the quality of the program and student experience*
- *Please explain how the program structure and faculty research will ensure the intellectual quality of the student experience*
- *Refer to Appendices C and D, and provide information on how the research experience, current projects, and funding contribute to the quality of the program*

Faculty expertise supporting the proposed program is substantive, with 19 full time faculty who all have PhDs. 15 of which are tenured / tenure track professors with many peer reviewed publications related to courses in the program. The majority of our tenured faculty also have extensive supervisory experience, and grant funding. Most of the 4 full time teaching faculty participating in the program are also active in research, and can supervise graduate projects. Summaries of the Faculty can be found in Appendix C.

The faculty participating in the program hold expertise in Math, Statistics, Artificial Intelligence, Programming, Management Information Systems, Legal Aspects of Analytics in Business, Marketing, Operations Research, Ethics, Privacy, Trust and Fairness, Big Data Systems, as well as Data Visualization and Strategic Management.

## ● APPENDICES

*Please include at minimum the below. Additional Appendices may be added, as appropriate.*

A. Calendar Copy with Program Maps
B. New Course Proposals
C. Detailed Listing of Faculty Committed to the Program
D. Library Report
E. Orientation Bootcamp
F. Letter of Support

**Ontario Tech**
UNIVERSITY

# BOARD REPORT

**ACTION REQUESTED:**

| | |
|---|---|
| **Recommendation** | ☐ |
| **Decision** | ☒ |
| **Discussion/Direction** | ☐ |
| **Information** | ☐ |

**DATE:** June 24, 2021

**FROM:** Academic Council

**SUBJECT:** New Program Proposal – Bachelor of Health Administration (Honours)

**MANDATE:**
In accordance with Article 1.4 of By-law No. 2, Academic Council will make recommendations to the Board on matters including the establishment or termination of degree programs.

Academic Council is seeking the Board's approval of the establishment of a Bachelor of Health Administration (Honours) program.

**MOTION FOR CONSIDERATION:**
*That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the establishment of a Bachelor of Health Administration (Honours) program, as presented.*

**BACKGROUND/CONTEXT & RATIONALE:**
The BHA will be offered as a 4-year Honours program. The offering the program at an Honours level with research projects and practica will enhance the probability of students' subsequent acceptance into Masters' programs in this noted field of health administration.

Health care is a dynamic and rapidly growing sector requiring not only frontline providers, but additional professionals to provide support and leadership for the organization and delivery of services. The Bachelor of Health Administration (BHA) program will be collaboratively offered with Faculty of Business and Information Technology (FBIT) within the Faculty of Health Sciences at Ontario Tech University located in Oshawa, Ontario. The BHA is a full-time degree program accepting direct entry from high school and also diploma prepared health care professionals (e.g., Paramedics, Nurses, Medical Laboratory Technologists) offering courses through in class, hybrid and online delivery format as well as work-integrated learning experience with health care institutions and agencies in Durham Region. The proposed program has been developed according to the Association of University Programs in Health Administration

(AUPHA) competencies with the goal of being certified by AUPHA. Students also have the option of doing a Minor in Business in one of the following two areas: (i) Entrepreneurship; or (ii) Marketing.

Individuals trained in health administration will be prepared to work in areas of operations, management, finance and planning in a variety of healthcare sectors and fields. The proposed program will strengthen and enhance the quality of the existing Health Sciences program to better meet current and emerging health care challenges and needs in this noted area of specialization. The BHA program is designed to prepare students for entry level positions in a variety of community-based agencies, organizations and primary care clinics to support integrated health systems. The inclusion of a work-integrated learning experience comprised of a 120 hours practicum experience and training in a health care institution or agency will help to better prepare Ontario Tech University students for employment in the health care sector. We have a well established partnership community with several agencies already through our other Health Science Faculty programs offered (e.g. Med lab, Nursing, Kinesiology).

Future AUPHA certification of the BHA program will also increase the eligibility of the students into accredited Masters in Health Administration (MHA) programs, thereby supporting career development. This new program will align well within the existing programs offered in the Faculty of Health Sciences incorporating many of the courses that are currently offered by the Faculty (as well as by Faculty of Business and Information Technology (FBIT)). The new program will provide an additional healthcare career avenue for undergraduate students interested in employment within the healthcare sector.

## RESOURCES REQUIRED:

One of the unique aspects of the BHA is that all in-house expertise is currently in existence in both Faculties; many of these courses are already in existence. With that in mind, it is not anticipated that there will be a need for additional resources or facilities to launch the program. Given that the minor in Business is already approved and running, no additional resources are required by FBIT. It is anticipated that the enrollment in the Faculty of Health Sciences will not change. Rather, the new degree program will provide an additional option for students who want a career in the healthcare field. The initial enrollment of the program will be established at 25 students in the first and second years that the program is offered. The rational for this is to support efforts to work on any challenges that may arise during implementation. The idea is then to grow the program online with market needs. In later years, it is anticipated that a part-time practicum co-ordinator will be required to facilitate student placement. This has been reviewed and approved assuming projected enrolment has been met.

## CONSULTATION AND APPROVAL:

USC for Recommendation: April 2021
Final Faculty Council Approval: March 2021
Academic Council for Recommendation: May 25, 2021

## NEXT STEPS:

- Pending the approval of the Board, the proposal must proceed through the following approval steps:
  - Ontario Universities Council on Quality Assurance
  - Ontario Ministry of Colleges and Universities
- The expected date of implementation is the fall semester of 2022

## SUPPORTING REFERENCE MATERIALS:

- New Program Proposal  (Appendices available upon request)

# University of Ontario Institute of Technology
# New Undergraduate Program Proposal

| | |
|---|---|
| **Name of proposed program:** | Bachelor of Health Administration (Honours) |
| **Degree Designation/Credential:** | BHA (Honours) |
| **Faculty (where the program will be housed):** | Faculty of Health Science  (FHSc) |
| **Collaborating Faculty (if applicable):** | Faculty of Business and Information Technology (FBIT) |
| **Program Delivery Location:** | Ontario Tech University North Oshawa campus |
| **Collaborating Institution(s) (if applicable):** | |
| **Proposed Program Start Date:** | Fall 2022 |
| **Proposal Contact:** | Dr. Wally Bartfay (Wally.Bartfay@ontariotechu.ca) |
| **Prepared Date:** | March 2021 |

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APPENDICES

# 1   Introduction

**a)   Program Abstract**

*Please provide a brief overview of the proposed program, in 1000 characters or less, including:*

- *A clear statement of the purpose of the program*
- *Any program components, such as specializations, pathways, or other offerings in addition to the major*
- *Any distinctive elements, including alternative modes of delivery (including online)*

The BHA is a 4-year Honours program with research projects and practica designed to prepare students for Masters' programs in this noted field of health administration.

Health care is a dynamic and rapidly growing sector requiring not only frontline providers, but additional professionals to provide support and leadership for the organization and delivery of services. The Bachelor of Health Administration (BHA) program will be collaboratively offered with Faculty of Business and Information Technology (FBIT) within the Faculty of Health Sciences at Ontario Tech University located in Oshawa, Ontario. The BHA is a full-time degree program accepting direct entry from high school and also diploma prepared health care professionals (e.g., Paramedics, Nurses, Medical Laboratory Technologists) offering courses through in class, hybrid and online delivery format as well as work-integrated learning experience with health care institutions and agencies in Durham Region. The proposed program has been developed according to the Association of University Programs in Health Administration (AUPHA) competencies with the goal of being certified by AUPHA. Students also have the option of doing a Minor in Business in one of the following two areas: (i) Entrepreneurship; or (ii) Marketing.

**b)   Background and Rationale**

- *Identify what is being proposed and provide an academic rationale for the proposed program*
- *Explain the appropriateness of the program name and degree nomenclature; list any program specializations, pathways, etc.*
- *If applicable, describe the mode of delivery and how it will support students in achieving the learning objectives of the program*
- *Describe the ways in which the program fits into the broader array of program offerings*

Health care is a dynamic and rapidly growing sector requiring not only frontline providers, but additional professionals to provide support and leadership for the organization and delivery of services. Individuals trained in health administration will be prepared to work in areas of operations, management, finance and planning in a variety of healthcare sectors and fields. The proposed program will strengthen and enhance the quality of the existing Health Sciences program to better meet current and emerging health care challenges and needs in this noted area of specialization. Healthcare policy supports the development of an integrated health system that addresses health needs, improves patient outcomes across the lifespan and increases efficiencies. Healthcare is envisioned as a continuum of care, where the site of care and its delivery will be supported by community agencies, primary care clinics, and health institutions.

The BHA program is designed to prepare students for entry level positions in a variety of community-based agencies, organizations and primary care clinics to support integrated health systems. Course delivery will consist of traditional classroom, asynchronous and/or hybrid modes. There are several courses in the BAHSc and BHSc programs that are already provided employing mixed delivery systems (e.g., hybrid, asynchronistic and synchronised and class room formats), which can be taken by diploma prepared allied health care professionals. For example, it could be possible for students to take some of their first year courses online. The inclusion of a work-integrated learning experience comprised of a 120 hours practicum experience and training in a health care institution or agency will help to better prepare Ontario Tech University students for employment in the health care sector. We are anticipating a first-year enrollment of 23 to 25 students maximum. We have a well-established partnership community with several of these agencies already through our other Health Science Faculty programs offered (e.g. Med lab, Nursing, Kinesiology). Please see Appendix J-1 for community partner details. Future AUPHA certification of the BHA program will also increase the eligibility of the students into accredited Masters in Health Administration (MHA) programs, thereby supporting career development.

Access to health care is a key challenge locally, nationally and internationally. To that end, health policy supports the development of integrated health systems (WHO; Canada; Ontario). What is needed are systems that can respond to the needs of the population in a timely, user friendly and cost-effective way to improve patient outcomes. Today's health system challenges (e.g., integration of technological innovations, the aging population, mental healthcare, Indigenous peoples' well-being, substance abuse, etc.) are multifaceted requiring a work force that is trained to provide and support the care people need (Naylor et al., 2003; Romanow, 2002; Truth and Reconciliation Commission of Canada, 2015). Health care is a dynamic and rapidly growing sector requiring not only frontline providers (e.g., Nurses, Medical Laboratory Technologists, etc.), but additional professionals to provide support and leadership for the organization and delivery of services. Individuals trained in health administration (and management) are prepared to work in areas of operations, finance and planning in the healthcare field. Key to the development of integrated health systems are community and primary healthcare managers and leaders (LEADS Community) who are responsible for managing and

coordinating health services. Historically, individuals employed at entry level in Canadian health services manager positions often have had little formal training in health services administration/management or health services.

An undergraduate degree in health administration would prepare students for entry level administration/management positions in the community (e.g., community clinics, public health, wellness centres, government, etc.) and primary care. The Ontario Tech Faculty of Health Sciences' undergraduate Bachelor of Health Administration (BHA) program is designed to give students the competencies to hold entry management positions in health service organizations in the community and primary healthcare.

We have undertaken a mapping exercise to identify relevant courses for the Bachelor of Health Administration. This exercise has included mapping courses to existing courses offered in the FHSc. In addition, we have completed detailed mapping exercises comparing PLO's to specific course learning outcomes, UDLE's and AUPHA teaching curriculum criteria and competencies (please see Appendix I). Very few additional courses are needed. For example, we would need to offer a health economics course. However, we have expertise in the Faculty to develop and teach this course (e.g., Dr. Rudoler, who is a health economist). These courses would also benefit our existing students in the Public Health Program. While the students in the Public Health Program will complete a traditional STEM- focused degree program, the students enrolled in health administration will complete a STE(A)M-focused degree. We have reached out to the Faculty of Business and Information Technology (FBIT) who are supportive of this proposal. In partnership with FBIT, we have identified collaboration opportunities (e.g., existing FBIT courses) to gain efficiencies.

Therefore, this new program will align well within the existing programs offered in the Faculty of Health Sciences incorporating many of the courses that are currently offered by the Faculty (as well as by Faculty of Business and Information Technology (FBIT)) (Appendix B). The new program will provide an additional healthcare career avenue for undergraduate students interested in employment within the healthcare sector.

c) **Mission, Vision, Strategic Plan, and Strategic Mandate Agreement**
   - *Describe how the program contributes to the University's Mission and Vision*
   - *Explain how the program aligns with the goals and priorities outlined in the Faculty's(ies') and University's Strategic Plans*
   - *Identify how the program fits within one or more areas of strength or growth in Ontario Tech University's Strategic Mandate Agreement*

The proposed program aligns with Ontario Tech's Strategic Plan to: 1) Challenge: We will produce and inspire future leaders who have real-world skillsets. 2) Innovate: We will create new approaches, partnerships, and solutions to improve society. 3) Connect: We will build lasting relationships to make Ontario Tech a remarkable place for work and study.

Support a culture that "thrives on good ideas and collegial exchanges with educational organizations, businesses, and our community."[1]

The proposed Bachelor of Health Administration program aligns with the Faculty of Health Sciences 2018-2020 strategic plan and priorities in offering "credentials leading to entry level positions in the community (e.g., positions in public health and long-term care)." The long-term goals of the Faculty include the delivery of: "high quality evidence-informed and value-based programs that are relevant to current and future community and health industry workforce needs and standards" to respond to a changing health environment. To that end one of the Faculty's priority actions for 2018-2020 is to develop a "Bachelor's degree program in a health-related field to broaden our offerings and to attract high quality students who will thrive within a STE(A)M-based program and bring new perspectives to our traditionally STEM-focused degree programs."

The Bachelor degree program also aligns with the Ontario Tech Strategic Management Agreement with the Ministry of Colleges and Universities in terms of: 1) Innovation in teaching and learning as "Ontario Tech continues to develop and resource unique programs to meet local, regional and national needs for enhanced training and credentials." 2) Institutional Approach to Improving Access and Equity "as the demand for quality postsecondary education increases," the proposed program will address the needs of Ontario Tech University's undergraduate students coming from the Durham Region, Northumberland County and the greater GTA to "access a high-quality career focused program." 3) Institutional Approach to Innovation, Economic Development, and Community Engagement and Durham Region's and Northumberland County's strategic plans all highlight "Ontario Tech's role in the diversification of employment opportunities." 4) Strategic Areas of Program Strength and Expansion which identifies Professional Arts as a program area of strength.

Ontario Tech University President, Dr. Steven Murphy, has identified five additional strategic priorities that are key to the future direction of the University: (i) student experience / sticky campus, (ii) refocus on technology, (iii) work Integrated learning / entrepreneurship, (iv) partnerships, and (v) branding / storytelling. These priorities are inherent and necessary for a successful BHA program as illustrated below.

President's key strategic priorities and the BHA program

| Priorities | BHA program |
|---|---|
| i. *Student experience/sticky campus* | This program engages students in work-integrated learning experiences and therefore supports the student's pursuit of learning and provides the opportunity to interact with educational and community partners. Hence, the program supports a sticky campus and a sticky community. Courses delivered by both FHSc and FBIT (along with minor options) also |

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[1] https://shared.uoit.ca/shared/department/opp/Governance/Office-of-the-President/2017-2022-strat-plan1.pdf

| | | |
|---|---|---|
| | | helps to promote interactions between FHSc and FBIT faculty, staff and students. |
| ii. | *Technology focus* | Technology is an essential tool for all who work in the healthcare industry. For example, health managers/administrators use health technology to support decisions, to track cost, performance management and maintain patient records (i.e., electronic health records). The adoption of technology in smaller community agencies and practices has been slow. However, a recent review of the literature lists the benefits of adopting technology by these agencies and practices. The proposed program will integrate into the curriculum a focus on technology to better prepare students to provide leadership for technology adoption. |
| iii. | *Work Integrated learning / entrepreneurship* | Work-integrated learning (WIL) is a key component of the proposed program. We have adopted the Higher Education Quality Council of Ontario's definition of work-integrated learning (WIL): "Work-integrated learning is the process through which students come to learn from experiences in educational and practice settings." It includes the kinds of curriculum and pedagogic practices that can assist, provide, and effectively integrate learning experiences in both settings and types of work-integrated learning to promote understanding. Further to support WIL, the development of the proposed program has also been guided by the report Work-integrated Learning in Canada which identified strategies to implement WIL within curricula. [2]<br><br>To support "Work-integrated learning is the process through which students come to learn from experiences in educational and practice settings; the proposed program will introduce two new courses in the last year of the program related to WIL experience. The first course is designed to introduce students to the integration of theory and practice facilitated through the work-integrated learning experience in the classroom setting (i.e., case study project). The second course will place the student in the practice setting within the community settings to further support their work-integrated learning experience. |
| iv. | *Partnerships* | Collaborative partnership with the University and Community Stakeholders is key to students' work-integrated learning experiences and successful delivery of the program. We have sought the involvement, participation and contribution of our |

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[2] https://www.canada.ca/en/employment-social-development/programs/work-integrated-learning.html

| | | |
|---|---|---|
| | | Community Partners for input into the BHA program (e.g. "Jam Session") for development of PLOs. |
| v. | *Branding/story-telling* | The program provides another opportunity for the University to link it values as stated in the mission statement with the student and the community by supporting the development of future leaders and creating new solutions to support an integrated health system through collegial engagement with businesses and the community. The program will prepare students for an entry employment position and offer potential career laddering through the potential opportunity to entry into Masters of Health Administration program. |

### d) Student Demand

- *Provide evidence of student demand, including number of prospective student inquiries; applications and registrations for similar programs; results from surveys/focus groups of existing students, graduates, or professionals in the field*
- *Include information about domestic vs. international student interest*

The program will provide an opportunity for undergraduate students coming from the Durham Region, Northumberland County and the greater GTA to "access a high-quality career focused program."

A survey of current undergraduate Public Health Sciences' students and 2012-2019 graduates from the general health sciences program (now the Public Health Sciences program) was conducted.

Results from the undergraduate survey demonstrated that 77.8% were either very interested or somewhat interested in taking an undergraduate degree in Health Administration. While 34.8% were very interested and 39.1% were somewhat interested in considering a Masters in Health Administration (Appendix F)

Alumni graduating from 2012-2019 indicated that 63.04% would be very interested in developing some or all of the following core health administration competencies: Communication and Relationship Management Leadership Professionalism Knowledge of the Healthcare Environment Business Skills and Knowledge (Appendix F).

### Enrolment Information

- *Provide information regarding enrolment projections and complete Table 1*

It is anticipated that the enrollment in the Faculty of Health Sciences will not change. Rather the new degree program will provide an additional option for STE(A)M- focused students who want a career in the healthcare field. The initial enrollment of the program will be established at 25 students in the first and second years that the program is offered. The

rational for this is to support efforts to work on any challenges that may arise during implementation. The idea is then to grow the program online with market needs.

## Table 1: Projected Enrollment by Academic and Program Year

| Level of Study | 1st year | 2nd year | 3rd year | 4th year | Total Enrolment | Year of Program Maturity |
|---|---|---|---|---|---|---|
| Academic Year 2021 – 2022 | 25 | | | | 25 | |
| Academic Year 2022 – 2023 | 25 | 25 | | | 50 | |
| Academic Year 2023 – 2024 | 30 | 25 | 25 | | 80 | |
| Academic Year 2024 – 2025 | 30 | 30 | 25 | 25 | 110 | |
| Academic Year 2025 – 2026 | 30 | 30 | 30 | 25 | 115 | |
| Academic Year 2026 – 2027 | 30 | 30 | 30 | 30 | 120 | YES |

e) **Societal Need**
- *Evidence of the need for graduates of the program and in which fields (within academic, public, and/or private sectors)*
- *Please indicate up to three occupations in which graduates from this proposed program may be employed using the Ontario Job Futures website*
- *For professional programs, a description of the program's congruence with current regulatory requirements*
- *Mention if any employers in the area support the need for this program and include a letter of support as an additional appendix.*

At the time of writing this proposal, entry level positions were advertised in the following areas: Government - Central East Local Health Integration Network (CE LHIN) (Durham region, is situated in the CE LHIN); home care; public health; director of community health clinic; wellness manager, and manager of risk management and patient safety (Ontario jobs future).

As indicated previously, the implementation of the proposed program will strengthen and enhance the quality of the existing Health Sciences program in the Faculty to better meet the needs of students and society. Healthcare policy supports the development of an integrated health system that addresses health needs, improves patient outcomes and increases efficiencies. Healthcare is envisioned as a continuum of care, where the site of care and delivery of care will be supported by community agencies, primary care clinics, and health institutions. As noted previously, trained leadership is needed to support

community agencies (e.g., long term care institutions, supportive housing, diagnostic clinics, etc.) and primary care clinics.

The Ontario government reports the percentage job growth rate (2017-2021)[3] for the following categories: 1) Management in healthcare 8.1% - 9%; 2) Senior managers in health, education and social services 5.1% - 6%; and 3) health policy research, consultation and program officers 11.1% - 12%. The Durham Region population in 2016 was 645,862 and is expected to increase to over one million people in the next fifteen years.[4]

The predicted population growth rate is higher than any other region in Ontario. The Durham Region strategic plan[5] identifies four priority areas of which two focuses on Population Health & Quality of Life to "maintain and improve the health of our community" and Organizational Health & Service Excellence to "deliver exceptional municipal services through strategic, compassionate and innovative leadership."  This coupled with the fact that increasingly health care is shifting to the community sector due to technological advances and patient preference (e.g., aging in place), there will be a need for entry-level management positions.

Healthcare managers and administration Administers are not regulated health professionals in Ontario or any other area in Canada. However, the Canadian College of Health Leaders is a recognized health leadership professional program offering *voluntary* certification and fellowship program to support continuous learning and excellence the health management/leadership profession.

Once the Bachelor of Health Administration program has been implemented, we will apply to the Association of University Programs in Health Administration for certification. There is only one other program in Canada certified by AUPHA. This program is situated at Ryerson University; however, the program at Ryerson is a part time degree completion program for graduates from a health diploma program (e.g. respiratory therapy, paramedics).

Accredited (i.e., by the Commission on Accreditation of Healthcare Management Education) Masters programs in Health Administration give priority for entry to students who have graduated from certified undergraduate Health Administration program. Accredited Master's programs are situated at University of Ottawa and University of Toronto.

## f)  Duplication

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[3] Ontario labour market website. https://www.ontario.ca/page/labour-market. Retrieved September 28, 2018

[4] The Guide to Health Neighbourhoods. (2017). Retrieved from: https://www.durham.ca/en/health-and-wellness/health-neighbourhoods.aspx  Retrieved September 19, 2018.)

[5] Growing Together Reaching Further Aspiring Higher A New Strategic Plan for Durham Region: 2015-2019 https://www.durham.ca/en/regional-government/resources/Documents/Region-of-Durham-Strategic-Plan.pdf

- *Describe how the program is distinct from other programs at Ontario Tech. Is it reasonable to anticipate this program might affect enrolment in other related programs? If so, how might this be addressed?*
- *Identify similar or complementary programs offered elsewhere in Ontario in Table 2. Provide additional comment on the justification for this duplication.*

The Bachelor of Health Administration (BHA) program will be collaboratively offered with Faculty of Business and Information Technology (FBIT) within the Faculty of Health Sciences at Ontario Tech University located in Oshawa, Ontario. The BHA is a full-time degree program accepting direct entry from high school and also diploma prepared health care professionals (e.g., Paramedics, Nurses, Medical Laboratory Technologists) offering courses through in class, hybrid and online delivery format as well as work-integrated learning experience with health care institutions and agencies in Durham Region. There are several courses in the BAHSc and BHSc programs that are already provided employing mixed delivery systems (e.g., hybrid, asynchronistic and synchronised and class room formats), which can be taken by diploma prepared allied health care professionals. For example, it could be possible for students to take some of their first-year courses online. The proposed program has been developed according to the Association of University Programs in Health Administration (AUPHA) competencies with the goal of being certified by AUPHA. Students also have the option of doing a Minor in Business in one of the following two areas: (i) Entrepreneurship; or (ii) Marketing.

Hence, this specific program in the Faculty of Health Sciences differs from out other programs offered in terms of focus, field of study and content. Moreover, the BHA is unique because it will be the only program to offer students option to complete a minor in Business from FBIT concurrently (i.e. Entrepreneurship and Marketing). We do not anticipate that BHA program will affect enrollment in our other programs due to its unique focus and limited capacity.

When comparing to the Sir Wilfrid Laurier program, the inclusion of a work-integrated learning experience will better prepare Ontario Tech students for employment in the sector. Future AUPHA certification of the Ontario Tech program will increase the eligibility of the students into an accredited Masters in Health Administration, thereby supporting career development. Certificates (Continuous Learning Department) and pathway opportunities (with Durham College) can be developed at Ontario Tech once the program has been implemented.

The York University program has a more generalist approach – embedded within a health studies program as a specialization.

## Table 2: List of Similar Programs in Ontario

| Institution Name | Credential Level and Program Name |
|---|---|
| Ryerson University | Health Services Management, Bachelor of Health Administration (BHA) |

| | |
|---|---|
| **Link to Program Web Page:** https://www.ryerson.ca/tedrogersschool/hsm/current/programs/) | |

**Brief Program Description:**

"To examine the Canadian healthcare and the manager's role in a health services organization." "The Health Services Management (HSM) part-time degree completion program consists of 22 courses, including a mixture of professional (see table below), professionally related and liberal studies electives. Students have the option of meeting these requirements through evening classes or online classes. Small class sizes allow for an intimate learning environment, focusing on shared learning with the instructors and peers."

**What differentiates the new program from this existing program:**

**Differences:**

| Program | Ontario Tech University | Ryerson University |
|---|---|---|
| Type of Degree | Full time degree program | Part-time degree program |
| Admission requirements | Direct entry from high school for undergraduate students | Part time degree completion to be eligible to enroll must have completed a three-year College of Applied Arts and Technology (CAAT) degree or have a Bachelor degree or higher in a related field. Minimum 2 years of current experience in the healthcare environment is required for either entrance option. |
| Positions preparing student for | Program designed to prepare students for entry positions in the community agencies/organizations and primary care clinics to support the integrated health systems. | Program is focused on students with a health background with the majority of students already working in a healthcare institution (i.e., hospital) as a healthcare provider. "Graduates of the Health Services Management and Health Information Management programs work in organizations such as the Ministry of Health, the Canadian Institutes for Health Information and major health institutions across Canada, including Sunnybrook Health Sciences Centre, the University Health Network and Cancer Care Ontario (CCO)." (https://www.ryerson.ca/tedrogersschool/hsm/). |
| Certified by the AUPHA | Not certified by the Association of University Programs in Health Administration (AUPHA). However, this is a long-term goal of the program and the reason for developing the program according to the AUPHA competencies. | Certified by the Association of University Programs in Health Administration |
| Delivery format | The initial offering of the program will include in class, | This program has both an online and in class delivery format |

| | hybrid and online delivery format | |
|---|---|---|
| Certificate opportunity (Collaboration) | No, however this opportunity can be developed later with the Continuous Learning Department | This is available through Ryerson's The Chang School of Continuing Education |
| Work-integrated learning experience | Work-integrated learning experience. During the fourth year students are required to first complete an in class case study course. Unlike the Ryerson Practicum (HSM 419/HIM 407), this course will be taught by an instructor with no need of Faculty supervisor. A second course will require students to complete a one term placement in the workplace. No practicum seminar course will be offered. Rather students will be able to showcase their project completed during the placement in the workplace at a research day hosted at Ontario Tech University where host workplace will be invited to attend. | Students are required to complete a practicum work related experience: The Practicum is the culmination of the coursework in the Health Services Management and Health Informati The Practicum is the culmination of the coursework in the Health Services Management and Health Information Management programs, and provides the opportunity to apply management theory and concepts in a working environment. It is the student's final capstone project and consists of two courses: the Practicum (HSM 419/HIM 407) and the Practicum Seminar (HSM 418/HIM406). The Practicum involves a pre-arranged number of hours per week at the Practicum site, a healthcare setting where the student will get on-the-job experience. Students are assigned a Faculty Supervisor from the Ryerson School of Health Services Management. On-site supervision is provided by the Preceptor, an experienced professional working at the site. Students must complete one half day per week or one full day every other week at the site. They are required to keep an attendance log of their hours. Students are also responsible for finding their own Practicum site and Preceptor, which must be approved by the Faculty Supervisor.**The Practicum Seminar (HSM 418 or HIM 406)** is a graded course, and includes the following deliverables: the rationale for the practicum, the practicum contract and project plan, the practicum proposal, the final seminar presentation, and final report. |

**Similarities:** Both programs have been guided and developed by the requirements of

Association of University Programs in Health Administration which certifies undergraduate health administration programs

Links:

https://www.ryerson.ca/tedrogersschool/hsm/

| Institution Name | Credential Level and Program Name |
|---|---|
| Wilfrid Laurier University | Bachelor of Arts in Health Administration |

**Link to Program Web Page:** https://www.wlu.ca/programs/human-and-social-sciences/undergraduate/health-administration-ba/index.html

**Brief Program Description:**
The Health Administration program provides you with a broad understanding of the diverse factors affecting the provision, management and utilization of health care, both domestically and internationally. You'll take a blend of health studies, leadership, and management courses to provide you with an overview of the factors influencing health and illness and an understanding of Canadian health-care systems.

**What differentiates the new program from this existing program:**

**Differences:**

| Program | Ontario Tech University | Sir Wilfred Laurier |
|---|---|---|
| Type of Degree | Bachelor in Health Administration | Bachelor of Arts in Health Administration - this program "provides you with a broad understanding of the diverse factors affecting the provision, management and utilization of health care, both domestically and internationally. You'll take a blend of health studies, leadership, and management courses to provide you with an overview of the factors influencing health and illness and an understanding of Canadian health-care systems." |
| Collaboration | Faculty of Health Sciences with service courses offered by the Faculty of Business and Information Technology. | Faculty of Human and Social Sciences. This program is developed around a core of courses in health studies and leadership in the Faculty of Human and Social Sciences, and includes completion of a Conestoga College postgraduate certificate.<br><br>There is also a pathway agreement with Conestoga College. (This option can be developed in the future at Ontario Tech University in partnership with Durham College.) "Students in the Honours Health Administration program must specialize in Human Resources Management or |

|  |  | Community and Social Services Management through an articulation agreement with Conestoga College. Under this agreement, students who have successfully completed 10.0 credits including OL224 (or equivalent), with at least a 5.0 GPA in these courses shall be eligible to enroll, normally during the third year of full-time study, in one of these post-degree/post-diploma programs through Conestoga College. Students completing these courses with an average of 70% or better will receive 5.0 senior credits as follows: |
|  |  | Human Resources Management: 1.0 200 level credit of OL, 1.0 200 level WORK credit, 1.5 200 level HR credit, 1.0 300 level HR credit, 0.5 credit – HR300." |
|  |  | Students in the Honours Health Administration program must specialize in Human Resources Management or Community and Social Services Management through an articulation agreement with Conestoga College. |
| AUPHA certification | Program map has been designed based on the AUPHA requirements for certification, which will be sought in the future | No AUPHA certification |
| Course delivery format | The initial offering of the program will include in class, hybrid and online delivery format | Not disclosed on website |
| Work-integrated learning experience | Work-integrated learning experience. During the fourth year students are required to first complete an in class case study course. Unlike the Ryerson Practicum (HSM 419/HIM 407), this course will be taught by an instructor with no need for a Faculty supervisor. A second course will require students to complete a one term placement in | As described on website, there is no description for a work-integrated learning experience equal to the 120 hours offered by Ontario Tech U. HS402* Health Studies Practicum HS201 and registration status: Year 4 Health Studies or Year 4 Health Administration.    1.0 Credit |

| | |
|---|---|
| the workplace. No practicum seminar course will be offered. Rather students will be able to showcase their project completed during the placement in the workplace at a research day hosted at Ontario Tech University where host workplace will be invited to attend. | This course will expose students to actual health care settings. Through lectures, professional mentorship and on-site workshops, students will integrate academic learning and the observation of ongoing health care activities. |

**Similarities -** Both are direct entry programs

Justification: The inclusion of a work-integrated learning experience will better prepare Ontario Tech University students for employment in the sector. Future AUPHA certification of the Ontario Tech University program will increase the eligibility of the students into an accredited Masters in Health Administration, thereby supporting career development. Certificates (Continuing Learning Department) and pathway opportunities (with Durham College) can be developed at Ontario Tech University once the program has been implemented.

Links: https://www.wlu.ca/programs/human-and-social-sciences/undergraduate/health-administration-ba/index.html

| Institution Name | Credential Level and Program Name |
|---|---|
| York University | Bachelor of Health Studies with a specialization in Health Management; BHS |

**Link to Program Web Page:** https://health.yorku.ca/future-health-studies-student/

**Brief Program Description:**
With a growing population and demand for more health services, one of the fastest growing professions is that of health care manager. In the health management program, students learn about the health system from an organizational perspective through courses that cover health management, leadership and decision-making, measuring health system performance, health finance, and integrated health systems.

**What differentiates the new program from this existing program:**

**Differences:**

| Program | Ontario Tech University | York University |
|---|---|---|
| Type of Degree | Bachelor Health Administration is a stand-alone program. | Bachelor of Health Studies is described as a "specialization in Health Management" hence this not a stand-alone program per se. |

| Position preparing student for | | Non-clinical health professional – health managers |  |
| --- | --- | --- | --- |
| | | More generalist approach as indicated on website: All students, whether in the Specialized Honours options (Management, Informatics or Policy) or the Honours Bachelor of Health Studies option, take the same core courses, including: Foundations of Health Studies • Health Policy: Power & Politics • Social Determinants of Health • Health Care Ethics | |
| | | • Statistical Methods in Health Studies | |
| | | • Health Management I | |
| | | • Health Care Law | |
| | | • Health Informatics I | |
| | | • Applied Research Approaches | |
| | | in Health Studies | |
| Certified by AUPHA | The goal for the proposed BHA program is to achieve AUPHA certification. This proposed program was and therefore designed with the following AUPHA core competency requirements for Public Health Professionals[1] embedded. | Not disclosed on website. | |
| Delivery format | Course delivery will consist of traditional classroom, asynchronous and/or hybrid modes. The inclusion of a work-integrated learning | Not disclosed on website. | |

| | experience comprised of a 120 hours practicum experience and training in a health care institution or agency. | |
|---|---|---|
| Collaboration certificate opportunity pathway | Minor in Business in one of the following two streams: (i) Entrepreneurship; or (ii) Marketing | **Certificates**: Our certificates in Health Informatics and Health Services Financial Management |
| Work-integrate learning experience | | 4th Year Field Placement Course<br><br>Students have an opportunity in 4th year to get hands on experience through a field placement in a variety of health care settings in which students are mentored and supported by fieldwork-supervisors (HLST 4990 Health Studies Practicum). |

Similarities:  admission requirements

Justification: York University has a more generalist approach – embedded with health studies program as a specialization

# 2   Program Requirements

a)   **Admission Requirements**
   - *Outline the formal admission requirements; explain how these are appropriate for the program learning outcomes: How will they help to ensure students are successful? How do they align with the learning outcomes of the program?*
   - *Explain any additional requirements for admission to the program such as special language, portfolio, etc. (and how the program recognizes prior work or learning experience, if applicable)*
   - *If this is not a direct-entry program, please explain*

The BHA will be offered as a 4-year honours program, as is standard at Ontario Tech. Offering the program at an Honours level with research projects and practica will enhance the probability of students' subsequent acceptance into Masters' programs in this noted field of health administration.

Admission to the BHA program will be competitive and consistent with all other undergraduate programs offered within the Faculty of Health Sciences. The specific average or standing required for admission will vary from year to year, which is also consistent with our other existing programs. Students are selected by taking into consideration a wide range of criteria including school marks, distribution of subjects taken, and performance in subjects relevant to the academic program. Possession of the minimum requirements does not guarantee acceptance and preference will be given to applicants with the best qualifications.

Current Ontario secondary school students must complete the Ontario Secondary School Diploma (OSSD) with six 4U or 4M credits including English (ENG4U) with a minimum grade of 60 per cent, and one of Advanced Functions (MHF4U) or Calculus and Vectors (MCV4U) or Mathematics of Data Management (MDM4U). Applicants from existing 2- or 3- year full-time diploma-prepared allied health care professional programs must be in good standing with their licensing body and provide evidence of this on admission. Qualified diploma-prepared allied health care professionals may be given advanced standing in concert with the current existing Bachelor of Allied Health Sciences Program (BAHSc) of up to 57 credits, however, they must successfully complete all required core courses in the BHA program. All other applicants should refer to admissions for the requirements for their specific category of admission.

b) **Program Learning Outcomes and Assessment of Student Knowledge**
   - *In Table 3 below, please describe what the student will know or be able to do (knowledge, methodologies, and skills) by the end of the program and indicate how that knowledge or skill will be demonstrated*
   - *An example has been provided in* purple *in the first row and can be removed.*
   - ***Connect with the Academic Planning Officer in CIQE (ciqe@ontariotechu.ca) early in the program development to review learning outcomes***.

*Degree Level Expectations are set by the Quality Council of Ontario and should not be modified. For the list of and more information on these expectations, including a detailed description, visit their* website.

# Table 3: Program Learning Outcomes

| Program Learning Outcomes By the end of the program, students graduating will be able to… (normally 6-8 outcomes per program with 12 being the maximum) | Degree Level Expectations (list all that apply; you must align with each expectation at least once) | Relevant courses (provide course code and course title) | Assessment of Learning Outcomes (e.g. test, rubric, self-assessment, etc.) |
|---|---|---|---|
| 1. Demonstrate leadership in diverse health and social systems. | Application of Knowledge, Communication skills, Autonomy and professional capacity* | BUSI 1600U Management of the Enterprise HLSC 3230U Organizational Behaviour in Health Care | Team case study Reflection paper |
| 2. Evaluate and anticipate the role of technologies and innovation in diverse health settings. | Depth and breadth of knowledge, Knowledge of methodologies Awareness of limits of knowledge | HLSC 2201U Intro to Health Information Management | Video presentation Annotated bibliography Discussion posts |
| 3. Demonstrate business competencies as related to health administration. | Depth and breadth of knowledge, Application of knowledge, Communication skills, Autonomy and professional capacity | HLSC 3501U Health Law | Written assignments Exams |
| 4. Employ health administration analytical and decision-making skills. | Depth and breadth of knowledge, Application of knowledge, | BUSI 2200U Marketing Management | Online discussion modules Research proposal assignment |

| | Communication skills | | |
|---|---|---|---|
| 5. Examine Canadian health care and social service systems. | Depth and breadth of knowledge,<br><br>Awareness of limits of knowledge | HLSC 1811U Social determinants of health | Reflection paper<br><br>Online critical feedback forum<br><br>Written exam |
| 6. Assess health and social service delivery through ethical and legal frameworks. | Application of knowledge,<br><br>Awareness of limits of knowledge,<br><br>Autonomy and professional capacity | HLSC 3820U Public Health I | Online discussion modules<br><br>Written exam<br><br>Cabinet committee project<br><br>Policy briefing |
| 7. Apply interpersonal and interprofessional communication in the management of health and social systems. | Communication skills,<br><br>Autonomy and professional capacity | HLSC 1701U Information Literacy& Communication | Writing pre-assessment<br><br>Proposal paper<br><br>Writing lab activities |

\* Note: See Appendix H –"Ontario Council of Academic Vice-Presidents' Undergraduate and Graduate Degree Level Expectations & Appendix I for Degree and Program Learning Outcome alignments.

- *Selecting a few examples from above, explain in detail how the program design and requirements support the attainment of the Program Learning Outcomes*
- *With assistance from the Academic Planning Officer in CIQE (ciqe@ontariotechu.ca), please provide further details on the Assessment of the Program Learning Outcomes, as outlined in the Quality Council's Quality Assurance Framework Section 2.1.6 - Assessment of Teaching and Learning:*
  - *Appropriateness of the proposed methods for the assessment of student achievement of the intended program learning outcomes and Degree Level Expectations (How will students demonstrate they have learned and can do what we expect them to by the end of the program?).*

o *Completeness of plans for documenting and demonstrating the level of performance of students, consistent with the Degree Level Expectations (How will the effectiveness of the program be assessed?)*

For the Bachelor of Health Administration program, the program learning outcomes were developed in a joint three-hour workshop "Jam" session with faculty members from both Health Science and Business, as well as community partners (facilitated by the Academic Planning Officer from CIQE). This collaboration resulted in program learning outcomes that capture both the health science and business discipline-related skills students will attain upon graduation. It also resulted in language that is industry-related and reflects consideration for career-readiness in the Health Administration field.

The attainment of these outcomes is reflected in the courses and activities they have been aligned with. For example, the outcome "Assess health and social service delivery through ethical and legal frameworks" is developed throughout several different courses that incorporate perspectives on service delivery for various communities (e.g. Indigenous health). Recognizing that health and social services are often interdisciplinary teams, this outcome (and its associated courses) assess the learning through various learning activities with a focus on practice in teams. Another example of how the program design and requirements support the attainment of the program learning outcomes is the scaffolding of learning of each outcome, such as, "Demonstrate leadership in diverse health and social systems", in both the health science and business courses at various year levels of the program. How the courses build upon one another is an intentional design to ensure that students are introduced to the program learning outcomes early on, then have the opportunity to develop that learning and become proficient by graduation.

The proposed methods of assessment were carefully chosen to align with the courses and program learning outcomes. For example, "Apply interpersonal and interprofessional communication in the management of health and social systems", has courses aligned to it with assessments that allow students to attain the outcome through activities that involve applying a variety of reading, writing and oral skills. These assessments for this outcome also range in year level to ensure that students are building these skills and to limit gaps in their attainment. A student will be required several times throughout the program to be assessed on the ability to apply the skills in the aforementioned outcome through a variety of different activities with the anticipation that they will be proficient in that outcome by the end of fourth year.

A proposed curriculum alignment plan has been attached in Appendix I of this document. It further outlines the alignment between the degree-level expectations and the program learning outcomes. This plan is an outlook for the next seven years of the program (until the scheduled review) but Faculty is aware that an ongoing evaluation of the program should be undertaken to establish consistency with the degree level expectations. After the first year of the program being implemented, it will be internally assessed by the

institution's Academic Resource Committee and, if needed, recommendations will be made to enhance program effectiveness and student success. This plan will also provide a visual roadmap for faculty onboarding by allowing faculty members to see where their courses align with the overall vision for graduates through the attainment of the program learning outcomes. Effectiveness of the program will be assessed through course evaluations, scheduled program reviews and when required by the Faculty.

c) **Program Structure and Content**
- *Describe the requirements and structure of the program. Is it full-time/part-time? Is this an online or partially online program? What are the unique curriculum or program innovations or creative components in this program?*
- *Address how the programs structure will help students to meet the program learning outcomes and Degree Level Expectations*

The Bachelor of Health Administration (BHA) program will be collaboratively offered with Faculty of Business and Information Technology (FBIT) within the Faculty of Health Sciences at Ontario Tech located in Oshawa, Ontario. The BHA is a full-time degree program accepting direct entry from high school and also diploma prepared health care professionals (e.g., Paramedics, Nurses, Medical Laboratory Technologists) offering courses through in class, hybrid and online delivery format as well as work-integrated learning experience with health care institutions and agencies in Durham Region. There are several courses in the BAHSc and BHSc programs that are already provided employing mixed delivery systems (e.g., hybrid, asynchronistic and synchronised and class room formats), which can be taken by diploma prepared allied health care professionals. For example, it could be possible for students to take some of their first- year courses online. The proposed program has been developed according to the Association of University Programs in Health Administration (AUPHA) competencies with the goal of being certified by AUPHA. Students will also have the option of doing a Minor in Business in one of the following two areas: (i) Entrepreneurship; or (ii) Marketing. Students will require 120 credit hours and a CGPA of 2.0 for degree completion.

We are confident that BHA program students will successfully complete the format delivery of courses offered. It is critical to note that these courses and their formats (hybrid, online and in class) have already been approved and/or in existence for several years.

To ensure success we have done due diligence to reference and cross check our PLO's with our existing and newly created course learning outcome and also AUPHA competency critical for student success. To further ensure success in our program, students have an opportunity to consolidate theory with actual practice in a variety of health care settings during their 120 hours practicum experience. To ensure success we have also created a Health Sciences Study Hub for drop-ins which provide study space and academic support. Please refer to Appendix J-2.

- *Describe the ways in which the curriculum addresses the current state of the discipline*

> Health care is a dynamic and rapidly growing sector requiring not only frontline providers, but additional professionals to provide support and leadership for the organization and delivery of services. Individuals trained in health administration will be prepared to work in areas of operations, management, finance and planning in a variety of healthcare sectors and fields. The proposed program will strengthen and enhance the quality of the existing Health Sciences program to better meet current and emerging health care challenges and needs in this noted area of specialization. Healthcare policy supports the development of an integrated health system that addresses health needs, improves patient outcomes across the lifespan and increases efficiencies. Healthcare is envisioned as a continuum of care, where the site of care and its delivery will be supported by community agencies, primary care clinics, and health institutions.
>
> Preparation for AUPHA Accreditation
> - Graduate feedback will only be sought after year 4 of graduates from the program, which is also a time requirement for AUPHA accreditation.
> - Nonetheless, we believe it would be prudent conduct "in program surveys" that would go beyond the typical semester-based course evaluations. This will help to ensure that the BHA program is meeting the student needs and expectations and ensure additional annual quality assurance checks for this program.
> - Course descriptions, learning outcomes and program competency requirement will be reviewed and updated on a yearly basis.
> - As per recommendation 1 above, the suggestion for the creation of a Joint FHSc/FBIT BHA Committee is highly valued and will be implemented moving forward with the BHA program.
> - Joint FHSc/ FBIT BHA program reviews will be conducted on an annual basis to continue to ensure collaboration, tracking, monitoring and achievement of goals.

- *Is there an experiential learning component (e.g. workplace learning, co-op, internship, field placements, service learning, mandatory professional practice) to the program? If yes, please describe this component in 2500 words or less. Include confirmed partners, duration of the experiential learning component(s), and projected number of placements (where applicable)*

> Work-integrated learning (WIL) is a key component of the proposed program. We have adopted the Higher Education Quality Council of Ontario's definition of work-integrated learning (WIL): "Work-integrated learning is the process through which students come to learn from experiences in educational and practice settings. It includes the kinds of curriculum and pedagogic practices that can assist, provide, and effectively integrate learning experiences in both settings types of work-integrated learning." to promote understanding. Further to support WIL, the development of the proposed program has also

been guided by the report Work-integrated Learning in Canada which, identified strategies to implement WIL within curricula.[6]

To support "Work-integrated learning is the process through which students come to learn from experiences in educational and practice settings; the proposed program will introduce two new courses in the last year of the program related to WIL experience. The first course is designed to introduce students to the integration of theory and practice facilitated through the work-integrated learning experience in the classroom setting (i.e., case study project). The second course will place the student in the practice setting within the community to further support their work-integrated learning experience.

The program team met with Experiential Learning Committee to seek advice and the recommendation was to include a workplace learning experience (i.e., practicum) (120 hours as per AUPHA requirements)

Year 4 – Fall - HLSC 4991U Case Study Analysis and Application for BHA Students – this course is to simulate workplace environment and better prepare students for their placement in Winter term of fourth year; Winter – HLSC 4990U – Practicum Placement for BHA Students - in the community – cannot be completed on campus. Currently, we have a number of contacts in the Durham and surrounding area for placing our students (eg Nursing, Med lab), which we will utilize. Within our External feedback survey, we are also soliciting additional placement opportunities for students proactively. For example, in our feedback survey (Appendix G) we asked all community stakeholders about their willingness to accommodate student placements in their agencies (organizations).

Table of current partners can be viewed in Appendix J-1, and BHA surveyed respondents can be viewed in Appendix G.

- *Describe how the potential need to provide accessibility accommodations has been considered in the development of this program*

Academic advisors in the faculty of health sciences are committed to helping students make choices that will lead to their academic success. An academic advisor can support students throughout their educational journey, from selecting a program to planning for the future.

Our academic advisors can assist with any of the following:
- Reviewing academic progress and standing.
- Addressing issues that affect academic performance.
- Establishing goals and planning for the future.
- Exploring the curriculum and choosing a program.
- Providing guidance for successful progression to graduation.

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[6] https://www.canada.ca/en/employment-social-development/programs/work-integrated-learning.html

- Selecting appropriate classes and electives.
- Understanding academic policies and procedures.
- Withdrawing from a program, adding or dropping a course(s).
- Referrals to campus services and resources for additional assistance.

Students can meet with an advisor by booking an appointment online, in person or via email or students can take advantage of drop-in advising appointments offered each day throughout the week where no appointment is required.

We will offer full Accessibility services as detailed on our University website, at: https://accessibility.ontariotechu.ca/.

- The option for taking core courses in BHA program will be offered in a variety of formats (e.g. hybrid, online and in-class) to provide flexibility for mature student scheduling (e.g. family and work commitments)

d) **Calendar Copy with Program Map(s)**
   - *Provide, as Appendix A, a clear and full calendar copy. Please use the template provided in Appendix A to create the Calendar Copy for the new program. This template ensures consistency across all programs in the Academic Calendar*
     o *Note that pathway (Bridge/Advanced Entry) programs will require a separate, usually shorter, section in the Calendar; please be sure to include one entry for each program type. Pathway Calendar example*
     o *New Minors, Co-op programs, or other alternatives have additional Calendar entries. Should you be including these items, please contact CIQE for more information and templates*
     o *If the program is to be accredited, include with this Appendix the accreditation tables, if available*
   - *Provide, as Appendix B, a full list of the all courses included in the program including course numbers, titles, and descriptions. Please indicate clearly whether they are new/existing. Include full course proposals for new courses, and the most recent course syllabi for existing courses. If you are making changes to existing courses, include instead a course change form.*

Please see Appendix A for proposed calendar copy.

Please see Appendix B for a full list of the course numbers and titles with course proposals and syllabi.

# 3  Consultation

- *Describe the expected impact of the new program on the nature and quality of other programs delivered by the home and collaborating Faculty(ies) and any expected impact on programs offered by other Faculties*
- *Outline the process of consultation with the Deans of Faculties that will be implicated or affected by the creation of the proposed program*
- *Provide letters of support for the program from Deans at Ontario Tech and/or from other institutions/partners*

On December 11th, 2019 a "Jam session" was facilitated by the Academic Planning Officer with our community partners and Faculty members from FBIT to provide feedback into the program including the final formulation for the 7 PLO's. As well on January 10th, 2020 a brief description was sent to our external partners that included a brief survey (4 questions – see attachment) to solicit their feedback regarding interest in the BHA program; need in their agency/ institution, and willingness to supervise students as part of the 120 hours practicum during 4th year (see attachment Appendix G).

Letters of support from the FBIT and FHSc Deans are provided in Appendix K.

No significant impact is expected on the other existing programs at the University. Please note that the minor programs in Business are existing programs. The BHA optional minor(s) are predicted to help with student enrollment in those small existing minor programs.

Does this Program/Change contain any Indigenous content?  ☒ Yes ☐ No  ☐ Unsure
*For more information on how Indigenous content is defined at Ontario Tech University and how to consult with the Indigenous Education Advisory Circle (IEAC), please refer to the Protocol for Consultation with the Indigenous Education Advisory Circle.*

Has the IEAC been contacted  ☒ Yes  ☐ No

If yes, when?

Initial consultation took place in the summer of 2019, and the curriculum consultation sub-committee of the Indigenous Education Advisory Circle (IEAC) met on October 17, 2019 to review consultation requests, including a consultation regarding an existing Faculty of Health Science course that we intend to include in the BHA program: HLSC 3823U – Health and Indigenous People in Canada as an elective. Please note that extensive consultation with Faculty members (Serene Kerpan & Brenda Gamble) and IEAC has taken place regarding this course.

What was the advice you received from the IEAC, and how has it been included in your proposal?

Course instructor, Serene Kerpan, responded to all concerns voiced by the IEAC. These concerns were issues that Serene was, in fact, already addressing in the course, but which were not evident through the course outline alone. For example, the Advisory Circle expressed concern over a lack of Indigenous voices in the course materials.

Serene responded that she does, in fact, teach using texts authored by Indigenous scholars, including two textbooks authored by Indigenous health scholars (Health Inequities and the Social Determinants of Aboriginal Peoples Health, Loppie- Reading and Wien, 2009 and The crisis of chronic disease among Aboriginal peoples: A challenge for public health, population health and social policy, Jeff Reading, University of Victoria, British Columbia: Centre for Aboriginal Health Research.)

Please see Appendix L to review the correspondence in further detail.

Did the IEAC ask you to return the proposal to them for review?  ☐ Yes  ☒ No

If yes, have they completed their review?  ☐ Yes ☐ No  ☒ N/A

# 4  Resource Requirements

a) **General Resource Considerations**
   - *Note here if this new program may impact significant enrolment agreements with the Faculty/Provost's office.*
   - *Indicate if the new program will affect any existing agreements with other institutions, or will require the creation of a new agreement. Please consult with CIQE (cige@uoit.ca) regarding any implications to existing or new agreements.*

We have been in extensive consultation with FBIT including enrollment numbers (n=25, year 1), business courses and mapping of PLO's and agreement for a Business minor.

Given that the majority of required courses from both faculties are already in existence and running, we do not anticipate the need for additional resources or facilities to launch this program. However, we do anticipate in the senior years, a part-time practicum co-ordinator will be required to facilitate student placement. Lastly, given that the minor in Business program is already approved and running no additional resources are required by FBIT.

It is anticipated that the enrollment in the Faculty of Health Sciences will not change. Rather the new degree program will provide an additional option for STE(A)M- focused students who want a career in the healthcare field. The initial enrollment of the program will be established at 25 students in the first and second years that the program is

offered. The rational for this is to support efforts to work on any challenges that may arise during implementation. The idea is then to grow the program online with market needs.

**b) Faculty Members - Current and New Faculty Requirements**
- *Brief statement to provide evidence of the participation of a sufficient number and quality of faculty who will actively participate in the delivery of the program*
- *The role of any sessional faculty*
- *The provision of supervision of experiential learning opportunities*
- *The plan to provide additional faculty resources to support the program, if needed*
- *Complete Appendix C, detailing the list of faculty committed to the program (template in Appendix) and provide any additional details, if necessary*
- *Indicate that faculty CVs are included in Appendix D, and please provide CVs for all faculty committed to the program*

One of the unique aspects of the BHA is that all in-house expertise is currently in existence in both faculties; many of these courses are already in existence.

For details please see Appendix C for list of faculty participation and expertise (current courses being taught).

Letters of support can be found in Appendix K.

**c) Additional academic and non-academic human resources**
- *Give details regarding the nature and level of Sessional Instructor and TA support required by the program, the level of administrative and academic advising support, etc.*
- *Please describe the plan to provide additional resources to support the program, if needed*

Given that the majority of required courses from both faculties are already in existence and running, we do not anticipate the need for additional resources or facilities to launch this program. However, we do anticipate in the senior years, a part-time practicum co-ordinator will be required to facilitate student placement. Lastly, given that the minor in Business program is already approved and running no additional resources are required by FBIT.

See Appendix E for additional detailed budgeting information and Appendix D for Library resource report.

**d) Existing student supports**
All undergraduate students have access to an extensive support system that ensures a quality student experience. In addition to the outlined services below, students may also take

advantage of the Campus Childcare Centre, Campus Bookstores, Housing and Living Resources, as well as the Student Union. Further information can be found at:
http://studentlife.uoit.ca/

**Faculty-Specific Support**

*Academic Advising*
Academic advisors in the faculty of health sciences are committed to helping students make choices that will lead to their academic success. The advisor can support students throughout their educational journey, from selecting a program to planning for the future.

Our academic advisors can assist students with any of the following:
- Reviewing academic progress and standing.
- Addressing issues that affect academic performance.
- Establishing goals and planning for the future.
- Exploring the curriculum and choosing a program.
- Providing guidance for successful progression to graduation.
- Selecting appropriate classes and electives.
- Understanding academic policies and procedures.
- Withdrawing from a program, adding or dropping a course(s).
- Referrals to campus services and resources for additional assistance.

Students can meet with an advisor by booking an appointment online, in person or via email or students can take advantage of drop-in advising appointments offered each day throughout the week where no appointment is required.

To ensure success we have also created a Health Sciences Study Hub for drop-ins which provide study space and academic support. Please refer to Appendix J-2.

**Student Life**

*Student Learning Centre*
The Student Learning Centre fosters a high level of academic excellence in the Ontario Tech community by working with all Ontario Tech students, undergraduate and graduate, to achieve educational success. Foundational knowledge and prerequisite skills are essential to all university level courses, and competency with these skills is vital for strong academic performance. The subject specialists offer support services in mathematics, writing, study skills, ESL and physics. With the additional support of peer tutors and workshops, the Centre can further accommodate the needs of a specific course or program.
http://studentlife.uoit.ca/student-learning/

*Student Accessibility Services*

The staff work as a collaborative team to ensure students with disabilities have equal opportunities for academic success. The SAS operates under the Ontario Human Rights Code (OHRC) and the Accessibility for Ontarians with Disabilities Act (AODA). Services are provided for students with documented disabilities. Accommodation supports include but are not limited to:

- Adaptive technology training;
- Alternative format course material;
- Learning skills support;

- Testing support; and
- Transition support for incoming students

### *Careers and Internships*

The Career Centre offers comprehensive career service assistance and a variety of valuable resources to help students along their career paths:

- Assistance with creating effective job-search documents;
- Career counselling;

- Interview preparation;
- Job market information; and
- Job search strategies

A variety of events hosted on campus during the academic year including employer information and networking sessions, job fairs, and interviews conducted by leading employers.

### *Student Engagement and Equity*

The Student Engagement and Equity supports students' successful transition into the university and provides opportunities for them develop your leadership and professional skills throughout their university career. Services provided through Student Engagement and Equity include:

- Orientation and events through first year;
- Specialized programming for first generation, graduate, indigenous, international, mature, online, transfer, and diploma-to-degree pathway students;
- Peer mentoring to help students through first year;

- Equity and inclusivity programming;
- Opportunities to grow and develop leadership skills through the Ambassador program; and
- Assistance and advice for living off campus

### *Student Mental Health Services*

Student Mental Health Services helps students learn how to better manage the pressures of student life. Students can:

- Attend a drop-in session;
- Participate in events and activities that promote positive health and well-being;

- Access tools and resources online to learn about mental health and how to maintain good health and wellness; and

- Work with a mental health professional to address concerns;
- Contact the Student Lifeline for immediate help and assistance;

- Get answers to frequently asked questions about mental health

Student Mental Health Services offers short-term counselling and therapy services to students. Students in distress will also be provided support and counselling as needed. There is no cost and services are confidential. For students who need long-term counselling support or specialized mental health services, Ontario Tech will provide referrals to assist the student in accessing resources in the local community or in the student's home community.

### *Athletics and Recreation Faculties*

Ontario Tech offers a number of recreation facilities and fitness opportunities to meet all lifestyles and needs. On-campus facilities include the state-of-the-art FLEX Fitness Centre which overlooks Oshawa Creek, five gymnasiums, a 200-metre indoor track, two aerobic/dance studios, the Campus Ice Centre, Campus Fieldhouse, a soccer pitch, a fastball diamond, squash courts and an indoor golf-training centre.

### *Campus Health Centre*

The Campus Health Centre provides assistance in numerous confidential health-care options including:

- A medical clinic with daily access to physician and nursing staff;
- Complementary Health Services featuring acupuncture, chiropractic, custom orthotics, massage therapy, nutritional counselling, and physical therapy;
- Treatment of disease, illness, and injury;

- Allergy injections, immunizations, and influenza injections;
- An on-site laboratory (blood work, STI testing, throat swabs, etc.); and
- Gynaecological health-care and prescriptions

### *Student Awards and Financial Aid*

Student Awards and Financial Aid (SAFA) is dedicated to helping students understand the variety of options available to finance their education. Budgeting and financial planning are essential to their success and Student Awards and Financial Aid is on hand to help create the right financial plan. Financial assistance can be in the form of bursaries, employment (both on-campus and off), parental resources, scholarships, student lines of credit and the Ontario Student Assistance Program (OSAP).

### **Information Technology Resources**

IT Services strives to provide quality services to students at Ontario Tech.  To support these objectives, the following components are included:

- Wireless network;
- Wired network;
- IT Service Desk;

- General workstations; and
- Printing services

*Wireless network*
Wireless internet connection is available in public areas and open-air locations around the Ontario Tech campus where students congregate (North Oshawa and Downtown locations).

*Wired network*
To ensure the success of the technology-enriched learning environment, a comprehensive data network has been installed on campus. This includes a network drops in lecture halls and designated areas as well as network drops for each residence suite.

Ontario Tech students benefit from networked classrooms and learning spaces. Each ergonomically-designed space has data network connection access and electrical connections to ensure battery regeneration. In addition, classrooms include electronic projection equipment and full multimedia support.

*IT Service Desk*
The IT Service Desk is equipped with certified technicians and experienced IT professionals offering technical support services on a drop-in, call-in or email basis.

*GUWs*
Ontario Tech undergraduate students are able to use general workstations available at the library and have access to BYOD TELE model course-specific software.

*Printing services*
Printing services are available to students in the following areas: labs, classrooms, study common areas, the Learning Commons and the Library. All Ontario Tech students receive print credits every year, more Printpacks can be purchased through the Campus Bookstore if students require additional printing services.

**Teaching & Learning Centre**
The mission of the Teaching and Learning Centre (TLC) at Ontario Tech is to empower faculty to reach their potential as educators and to create a culture where effective teaching is valued. We champion the scholarship of teaching and implementation of pedagogy.  We create valuable teaching and learning professional development experiences.  We move Ontario Tech towards being a leader in teaching excellence, ultimately leading to greater student success.

The TLC provides faculty with a range of tools and facilities to assist them in providing a rich learning experience for students. Experts at the TLC provide support in various areas including curriculum development, multimedia design, learning technology and in the overall improvement of teaching practice.

In addition, the TLC funds teaching-related projects from the Teaching Innovation Fund (TIF) for proposals by faculty members aimed at developing new methods in teaching and learning. The TLC facilitates teaching awards at the University and supports faculty in their application for external awards and funding opportunities that focus on teaching and learning.

e) **Physical resource requirements**
  - *Please attach a report, as Appendix E, from the Library regarding existing library holdings and support for student learning*
  - *Address any space/infrastructure requirements including information technology, laboratory space, equipment, etc. If new space is required, please complete Table 4; otherwise, please remove this Table*
  - *Ideally, please provide information on the change in the number of faculty, students, administrative staff, etc. as well as information on changes in equipment and activities (additional space; the renovation of existing space; or will the current space allocation accommodate the new program)*
  - *The plan to provide additional resources to support the program, if needed*

> Please see Appendix D from Library regarding resource requirements

f) **Business Plan**
  - *Provide a brief statement of the funding requirements, and insert the Program Summary tab from the New Degree Program UG Proposal Budget spreadsheet below as Table 5 or attach a copy as Appendix F. Also, please submit a copy of the full Excel document to CIQE as an attachment.*
  - *Complete the highlighted sections of the New Program Funding and Tuition form and submit the form to CIQE as soon as possible*

> Total expenses in the first year of the program (2020-21) are estimated at $95,846—including $41,846 towards Academic Salaries, and $54,000 towards Operational Expenses—with Net Income (without grant) estimated at $80,910.
>
> For the projected peak enrollment year (2026-27) expenses are estimated as $474,991—including Academic Salaries estimated at $423,524, Support Staff expenses at $19,742, and Operational Expenses estimated as $31,725—with a Net Income (without grant) of 438,561.
>
> Please see Appendix E for Program Financial Summary page of the New Degree Program UG Proposal budget

# 5   Quality and Other Indicators

- *Please describe the appropriateness of the collective faculty expertise to contribute substantively to the proposed program; what areas of faculty strength and expertise, innovation, and scholarly record will contribute to the quality of the program and student experience*
- *Please explain how the program structure and faculty research will ensure the intellectual quality of the student experience*

Faculty members in the BHA program have a diverse set of research skills and interests (e.g. kinesiology, public (community) health, health informatics, nursing and med lab) which provides students the opportunity to be trained in various areas of health science. Faculty of Health Sciences members published an impressive amount of quality (peer reviewed) publications.

Please see Appendix C for a detailed listing of faculty committed to the program (including links to their bios posted on our Faculty webpages).

**Ontario Tech**
UNIVERSITY

# BOARD REPORT

**ACTION REQUESTED:**

| | |
|---|---|
| **Recommendation** | ☐ |
| **Decision** | ☒ |
| **Discussion/Direction** | ☐ |
| **Information** | ☐ |

**DATE:**      **June 24, 2021**

**FROM:**      **Academic Council**

**SUBJECT:**   **New Program Proposal – Doctorate in Education (EdD)**

**MANDATE:**
In accordance with Article 1.4 of By-law No. 2, Academic Council will make recommendations to the Board on matters including the establishment or termination of degree programs.

Academic Council is seeking the Board's approval of the establishment of a Doctorate in Education program.

**MOTION FOR CONSIDERATION:**
*That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the establishment of a Doctor of Education program.*

**BACKGROUND/CONTEXT & RATIONALE:**
The Doctor of Education (EdD) degree at Ontario Tech is an online, applied research degree that is aimed at working professionals in K-12, universities, colleges, and in public and private sector organizations. The EdD will provide students with a research experience that is focused on professional practice. The increasingly complex and constantly changing modern educational context is presenting challenges that require an ever more sophisticated and research informed response from educators. The EdD at Ontario Tech is designed to address these challenges. Online degrees are increasingly important to modern universities in providing alternative forms of accessible education. The EdD builds on the track record in delivering online education within the Faculty of Education and is part of the commitment by Ontario Tech to expand its online program offerings.

The EdD has an overall theme of Education in the Digital Age. This general theme resonates with the strengths within the Faculty of Education and across the university in the analysis and use of digital technologies in education. The Faculty of Education has a B.A. in Adult Education and Digital Technology, as well as a field of strength in Education and Digital Technologies in the master's programs. The proposed EdD is an advanced degree that prepares scholarly practitioners who will operate with critical skills in our changing and complex contemporary society. The EdD program is designed to prepare graduates who can analyze complex problems of practice, and who can use collaborative skills, research, knowledge, policy analysis, and experience to provide innovative solutions for communities. The EdD is a thesis focused degree that has extensive course support for students through a set of core courses that ladder students through the research and thesis process.

The faculty members in the EdD degree are drawn from across the university. This cross-faculty and cross-disciplinary graduate faculty for the EdD is a differentiator and a strength for the program. There are strong connections and collaborations across the university in many areas of central importance to the EdD that have established a significant critical mass of faculty for the support of this program.

**RESOURCES REQUIRED:**
The EdD program proposal and resource requirements have been reviewed by the Academic Resource Committee (ARC). The program development model has admission cohorts of 15 students with a program cap of 50. The demand for graduate degrees in Education is strong. The master's degrees in Education at Ontario Tech have a total enrolment of around 200 students and EdD degrees have many more applications than the spaces available. The EdD will be offered initially as a cost recovery program. There is one tenure track faculty position and one staff person in year 3-4 of the approved budget model if projected enrolment levels are met. There are forty-six graduate faculty members, from across the university, in the proposal. Most of these faculty members will take on supervision committee responsibilities.

**CONSULTATION AND APPROVAL:**
GSC: 27 April 2021
Final Faculty Council Approval: 29 March 2021
Academic Council for recommendation:  May 25, 2021

**NEXT STEPS:**
- Pending the approval of the Board, this proposal must proceed through the following approval steps:
    - Ontario Universities Council on Quality Assurance
    - Ministry of Colleges and Universities
- The expected date of implementation is the fall semester of 2022

**SUPPORTING REFERENCE MATERIALS:**
- New Program Proposal (Appendices available upon request)

# New Graduate Program Proposal

| | |
|---|---|
| **Name of proposed program:** | Doctor of Education |
| **Degree Designation/Credential:** | Doctor of Education (EdD) |
| **Faculty (where the program will be housed):** | Faculty of Education |
| **Collaborating Faculty (if applicable):** | |
| **Program Delivery Location:** | Online |
| **Collaborating Institution(s) (if applicable):** | |
| **Proposed Program Start Date:** | September 2022 |
| **Proposal Contact:** | Dr. Brian Campbell, Professor<br>Faculty of Education, Faculty of Social Science and Humanities<br>brian.campbell@uoit.ca |
| **Prepared Date:** | Revised March 18, 2021 |

# Table of Contents

# 1  Introduction

**a)**  Program Abstract

- Please provide a brief overview of the proposed program, in 1000 characters or less, including:

    - *A clear statement of the purpose of the program*
    - *Any program components, such as fields or pathways (note that fields and pathways are not required)*
    - *Any distinctive elements, including alternative modes of delivery (including online)*

> The Doctor of Education (EdD) degree at Ontario Tech University is an applied research degree that is aimed at working professionals in K-12, universities, colleges, and in public and private sector organizations. The EdD will provide students with a research experience that is focussed on professional practice.
> The EdD at Ontario Tech will be distinctive through its combination of synchronous online delivery, student support within an online learning community, a laddering set of courses that supports students through their thesis process, the overall theme of Education in the Digital Age, and its strong cross-Faculty and cross-disciplinary faculty complement.

**b)**  Background and Rationale

- *Identify what is being proposed and provide an academic rationale for the proposed program*
- *Explain the appropriateness of the program name and degree nomenclature; list any program fields, pathways, etc. (note that fields and pathways are not required)*
- *If applicable, describe the mode of delivery and how it will support students in achieving the learning objectives of the program*
- *Describe the ways in which the program fits into the broader array of program offerings*

The Doctor of Education (EdD) degree at Ontario Tech is an online applied research degree that is aimed at working professionals in K-12, universities, colleges, and in public and private sector organizations. The EdD will provide students with a research experience that is focussed on professional practice. The increasingly complex and constantly changing modern educational context is presenting challenges that require an ever more sophisticated and research informed response from educators. The EdD at Ontario Tech is designed to address these challenges. Online degrees are increasingly important to modern universities in providing alternative forms of accessible education. The EdD builds on the track record in delivering online education within the Faculty of Education and is part of the commitment by Ontario Tech to expand its online program offerings.

The EdD has an overall theme of Education in the Digital Age. This general theme resonates with the strengths within the Faculty of Education and across the university in the analysis and use of digital technologies. The Faculty of Education has a B.A. in Adult Education and Digital Technology, as well as a field of strength in Education and Digital Technologies in the master's programs. Many of the substantive graduate courses in the degree connect directly with digital

technologies. By situating the degree within the broad concept of a digital age we make it possible for a range of student research projects that can foreground digital technologies or recognize digital technologies as part of the broader context. Our general theme of Education in the Digital Age will help to signal the strengths in the program for potential students and project a profile for the degree. The proposed EdD is an advanced degree that prepares scholarly practitioners who will operate with critical skills in our changing and complex contemporary society. The EdD program is designed to prepare graduates who can analyze complex problems of practice, and who can use collaborative skills, research, knowledge, policy analysis and experience to provide innovative solutions for communities. Our EdD degree has a broad reach. The limits on thesis topics within the degree are the areas of expertise of the faculty in combination with students' areas of professional practice. Student theses in the EdD will be coordinated with the areas of expertise of the faculty members available to supervise for each admission cohort. The EdD is a thesis focused degree that has extensive course support for students through a set of core courses that ladder students through the research and thesis process.

The faculty members in the EdD degree are drawn from across the university in the Faculties of Education (FED), Science (FS), Health Sciences (FHS), Social Science and Humanities (FSSH), Business and Information Technology (FBIT), and Engineering and Applied Science (FEAS). This cross-faculty and cross-disciplinary graduate faculty for the EdD is a differentiator and a strength for the program. The practice of including faculty members from across a range of faculties and programs is well established pattern in Ontario. The collaborative degree model used at the University of Toronto in its EdD programs stands as a prominent example. However, the boundaries between faculties at Ontario Tech are more permeable than at other, often larger universities. Academic programs at Ontario Tech are organized without departments and can draw on faculty members across Faculties and disciplines. There are strong connections and collaborations across the university in many areas of central importance to the EdD that have established a significant critical mass of faculty for the support of this program.

c) Mission, Vision, Strategic Plan, and Strategic Mandate Agreement

- *Describe how the program contributes to the University's Mission and Vision*
- *Explain how the program aligns with the goals and priorities outlined in the Faculty's(ies') and University's Strategic Plans*
- *Identify how the program fits within one or more areas of strength or growth in Ontario Tech University's Strategic Mandate Agreement*

> Ontario Tech's Vision states that, "*With its foundation in technology, the sciences and professional practice, UOIT advances the discovery and application of knowledge that accelerates economic growth, regional development and social innovation and inspires graduates who will continue to make an impact on the world, as it is and as it will be.*"

Ontario Tech's mission, embedded in our act, states that we are mandated to "provide superior undergraduate and graduate programs that are technology-enriched and responsive to the needs of students and the evolving workplace." Ontario Tech's mission also emphasizes "lifelong learning that is flexible" and "inclusive".

Our recently revised Strategic Research Plan (SRP) reaffirms the mission by committing to increase " the quantity of online curricular and course offerings, and use of online educational resources (OERs) with a commitment to enhancing the quality of the same". The SRP goes on to emphasize that by 2021 we will have "Leveraged existing technological assets to provide a greater number of degrees, courses and other for credit offerings (e.g., micro certification, badges) via online formats."

The Ontario Tech EdD clearly articulates this vision, mission, and strategic research plan. The EdD is an applied degree that is targeted at the "professional practice" of working professionals who "will continue to make an impact on the world". It is "responsive to the needs of students in the evolving workplace". We will use "technology-enriched" instruction through the online delivery of the EdD. This online delivery increases accessibility to "lifelong learning" for many working professionals. Ontario Tech has an established pattern of accessibility with a high proportion of first generation and OSAP supported students. Our Strategic Mandate Agreement (SMA) states clearly that "accessible education is at the foundation of UOIT's values and defines how it approaches education." The EdD is embedded in this institutional culture of equity, accessibility and inclusion. The SMA makes it clear that "Many of UOIT's programs may be accessed either fully online or in hybrid form, further increasing opportunities for non-traditional students" and that Ontario Tech "is committed to growing its online and hybrid offerings each year."

Our Strategic Research Plan emphasizes "establishing interdisciplinary research teams". The EdD is part of this interdisciplinary model. Building on the strengths within the Faculty of Education the EdD faculty complement is drawn from across the university. Our focus on Education in the Digital Age directly connects to Ontario Tech's goal of emphasizing practices, programs, and research that address "Tech with a conscience". Our Strategic Research plan sets out this goal concisely. "We aim to improve the lives of humans and the planet through the ethical application of technology. It's a key component in our teaching and learning practices, administrative processes and innovative research projects." The Ontario Tech EdD uses technology extensively in its online delivery and engages issues associated with Education in the Digital Age.

**d)** Student Demand

- *Provide evidence of student demand, including number of prospective student inquiries; applications and registrations for similar programs; results from surveys/focus groups of existing students, graduates, or professionals in the field*
- Include information about domestic vs. international student interest

We have consulted with our present and former Master of Education students and have established that there is a strong demand for an Ontario Tech EdD from within this

population. In a recent survey of Ontario Tech's Master of Education students and graduates, 99 (or 25%) of those surveyed indicated that they would like to pursue a doctoral degree and that they would prefer to pursue this doctoral degree with the Faculty of Education at Ontario Tech. In addition, we have had numerous informal inquiries. Our master's programs continue to have a strong appeal with approximately 200 students enrolled at any one time. The fully online synchronous model of graduate program delivery has an enduring appeal. Our student enrollments are overwhelmingly domestic in our master's programs. We anticipate this pattern to continue with the EdD in the initial phases. Our online delivery makes it possible for more international participation. However, our emphasis on synchronous interaction may limit the time zones where being a student in our program is practical.

*Enrolment Information*
- Provide information regarding enrolment projections and complete Table 1

We are targeting a total of 50 students in the program when it is fully populated. The model in the table below assumes a high retention rate, as is consistent with our online master's programs. We anticipate that demand will be strong and that we will be highly selective in our admissions. We plan on admitting 15 students in the first cohort, but we will adjust admissions numbers to our available supervision capacity and to our actual retention rate. The model below assumes that we will have 20% attrition between the first and second year bringing the continuing enrollment down to 12 for an admissions cohort by the second year. The assumption is that 4 from this cohort will complete in year 3, 5 will complete in year 4, and the remaining 3 will complete in year 5. All students in the EdD are enrolled full-time throughout their program.

## Table 1: Projected Enrollment by Academic and Program Year

| Level of Study | Master's year 1 | Master's year 2 | Ph.D. year 1 | Ph.D. year 2 | Ph.D. year 3 | Ph.D. year 4 | Ph.D. year 5 | Total Enrolment |
|---|---|---|---|---|---|---|---|---|
| Academic Year 20xx – 20xx | # of students | # | # | # | # | # | # | |
| Academic Year 2022 – 2023 | | | 15 | | | | | 15 |
| Academic Year 2023 – 2024 | | | 15 | 12 | | | | 27 |
| Academic Year 2024 – 2025 | | | 15 | 12 | 12 | | | 39 |
| Academic Year 2025 – 2026 | | | 15 | 12 | 12 | 8 | | 47 |
| Academic Year 2026 – 2027 | | | 15 | 12 | 12 | 8 | 3 | 50* |

*Program steady state

**e)** Societal Need

- *Evidence of the need for graduates of the program and in which fields (within academic, public, and/or private sectors)*
- *Please indicate up to three occupations in which graduates from this proposed program may be employed using the Ontario Job Futures website*
- *For professional programs, a description of the program's congruence with current regulatory requirements*
- *Mention if any employers in the area support the need for this program and include a letter of support as an additional appendix.*

Most students in the EdD program will be working professionals in education or a related field. Obtaining an EdD is a way for these practitioners to refine their skills and advance their careers within their sector. The students within our master's programs are a good indication of the students within the EdD. This is confirmed by the strong interest in our EdD in our surveys of present and graduated graduate students. We have seen a broad range of areas of professional practice in our master's students that will continue to be represented in the EdD. There will be K-12 teachers who are interested in improving their educational practice and/or advancing their careers as principals and in other leadership roles. There will be professionals who work in a variety of roles in student success, mostly at the post-secondary level. These student success support roles, in such areas as accessibility, equity, international student support, ESL, and mental health have been growing within the education sector. We will attract teaching and learning centre professionals. We will attract community college faculty. There is increasing pressure on college faculty to advance their skills through graduate degrees, and many of them are seeking degrees in education. We will have students who work in health services, many of them nurses. The demands around public health education as well as professional

development and education within the healthcare system are expanding. We will have educational administrative professionals, mostly in higher education, but also in the public sector more broadly. We will have adult education professionals in the public and private sectors. Practitioners from all these areas are represented in our master's student population and they will continue to be represented in our EdD.

The Ontario Tech EdD degree will engage the increasingly complex challenges facing education professionals across these sectors. The societal need for this program is clearly indicated in the professional development needs of these working practitioners. Providing our EdD fully online also responds to the societal need for restructuring aspects of education to be more easily accessible to working professionals. Our online mode of delivery is a lived experience within the digital age, and our critical reflection on digital practice and its context addresses core features of modern society.

**f)** Duplication

- *Describe how the program is distinct from other programs at Ontario Tech. Is it reasonable to anticipate this program might affect enrolment in other related programs? If so, how might this be addressed?*
- *Identify similar or complementary programs offered elsewhere in Ontario in Table 2. Provide additional comment on the justification for this duplication.*

There is no duplication of the proposed EdD degree with any of the existing degrees at Ontario Tech University. The computer science doctorate is focussed on the scientific and technical aspects of computing. The Faculty of Social Science and Humanities hosts doctoral degrees in Criminology and in Forensic Psychology which deal with social justice and equity issues, but there is no explicit focus on education. The graduate degrees in health sciences are focused more on biology or the professional practices within nursing. The establishment of the EdD may increase demand for our master's programs in education since students may perceive a possible pathway between the masters and the doctorate as an attractive option.

The EdD at Ontario Technical University will be distinctive within Ontario through its combination of synchronous online delivery, student support within an online learning community, a laddered program that supports students throughout their thesis project, the overall theme of Education in the Digital Age, and its strong cross-Faculty and cross-disciplinary faculty complement.

Many of these elements are well established and recognized for EdD degrees and graduate education more generally. A thesis requirement, laddered thesis support through courses, online delivery, general program themes, and drawing on faculty members outside of traditional academic units are all accepted degree components for doctoral degrees in education. Ontario Tech's innovation lies in our unique combination of these established elements.

The EdD degree uses fully online synchronous delivery. Western University also delivers a fully online EdD program with synchronous components, but this program is different in many other respects. All doctoral degrees in education in Ontario have some online footprint. However, much of this is asynchronous, and in no case is it as comprehensively synchronous as our model. We have substantial asynchronous supports as well in addition to our extensive synchronous delivery. Our design supports students through the development of an online learning community where students will interact and share experiences within each phase of the program. This interactive community is important in supporting student success in an online environment.

The Ontario Tech EdD will be an applied research degree with a thesis. All other doctoral degrees in education in Ontario have a thesis, whether they are structured as EdDs or PhDs.

We have been influenced by the University of British Columbia in our EdD thesis description.

> An EdD thesis must contain a substantial contribution of new knowledge to the field of study. It presents the results and an analysis of original research and should be significant enough to be published. One part of the dissertation may take the form of a document (or its equivalent in a non-print medium) of the kind commonly used in the field, such as a policy handbook or policy document, an action plan, a white paper, a curriculum or project design, a program evaluation, an institutional reorganization, a community development prospectus, or any other relevant innovative professional practice undertaking. If any such materials are included then the candidate must provide, as part of the dissertation, documentation sufficient to allow others to follow the line of reasoning and evaluate the originality, usefulness, and credibility of the work.

The Ontario Tech EdD will have a laddered structure that steps students through the stages of their thesis project up to and including writing the thesis. Students travel on this journey with the support and guidance of their supervisory committee. Students and their supervisory committees are both supported through milestone courses and tasks in distinct phases of the program. Our EdD model uses the increased course structure of a professional degree in support of student research projects. The closest program with a similar model for thesis project development in Ontario is the University of Toronto where courses in their program also are used to ladder students through the thesis process. The proposed Ontario Tech model differs from Toronto in some of the structural elements associated with the differences between a comprehensive exam system as compared to a candidacy exam system. Our laddering structure also puts more emphasis on supporting the final analysis and writing stages of the thesis project with courses. This will be especially helpful for our students in the fully online mode of delivery. Toronto's EdD has a more conventional physical delivery with increasing use of online supports.

Our overall theme of Education in the Digital Age is a differentiator in Ontario. The University of Toronto offers six EdD degrees and ten PhD degrees in education. These

degrees are focused on a broad range of specialized topics. The Toronto EdD degrees are in: Child Study and Education, Educational Leadership and Policy, International Educational Leadership and Policy, Counselling Psychology, Higher Education, and Social Justice Education. It is possible to pursue an Educational Technology focus within the OISE degrees as a sub-theme that crosscuts their degrees along three other themes and 18 "collaborative specializations". All of these options are highly specialized. Western University offers a specialized EdD in Educational Leadership. There are no other EdD degrees in Ontario. All of these EdD programs are highly specialized. The Ontario Tech EdD is a flexible thesis focused degree that is themed within the general landscape of Education in the Digital Age. This will allow students to focus on specific aspects of the use of technology in education as well topics that are set in the broader landscape of the digital age.

The other doctoral degrees in Education in Ontario are PhDs with fewer courses and more conventional doctoral requirements. These programs are offered by Queen's, York, Nipissing, and a consortium composed of Brock, Lakehead and Windsor. The Nipissing PhD degree provides some points of comparison to our EdD. Nipissing is a smaller university and has adopted a model of using a broad general theme (Educational Sustainability). There are fewer courses at Nipissing as is customary with a PhD model (6) but like Ontario Tech the substantive offerings are pooled with their master's offerings. However, pooling substantive courses is not just a small university phenomenon. The Toronto EdD degrees have a great deal of flexibility in substantive course offerings.

## Table 2: List of Similar Programs in Ontario

| Institution Name | Credential Level and Program Name |
|---|---|
| University of Toronto | Doctoral. Doctorate in Education (EdD) |
| **Link to Program Web Page:** https://www.oise.utoronto.ca/oise/Programs/index.html | |
| **Brief Program Description:** The Ontario Institute for Studies in Education (OISE) has a large faculty complement with four specialized departments in: Applied Psychology and Human Development; Curriculum, Teaching and Learning; Leadership, Higher and Adult Education; and Social Justice Education. They offer 14 doctoral degrees, six of them as an EdD and ten as a PhD. The EdD degrees are in: Child Study and Education, Counselling Psychology, Educational Leadership and Policy, International Educational Leadership and Policy, Higher Education, and Social Justice Education. None of OISE's four EdD degrees are organized around technology, although it is possible to pursue a theme of Educational Technology within a degree. OISE programs are based on traditional physical face-to-face delivery with some online elements. | |
| **What differentiates the new program from this existing program:** The core graduate faculty in the Ontario Tech EdD are drawn from across the university while Toronto has a large education faculty with four departments. Ontario Tech will be delivering a fully online synchronous program within an online learning community. The Ontario Tech EdD is a general degree within the broad thematic space of Education in the Digital Age. OISE has a traditional separation of a comprehensive exam and a thesis proposal. Ontario Tech's doctoral model combines these elements within the candidacy exam. | |
| Institution Name | Credential Level and Program Name |
| Western University | Doctoral. Doctorate in Educational Leadership (EdD) |

| | |
|---|---|
| **Link to Program Web Page:** https://www.edu.uwo.ca/graduate-education/program/edd/educational-leadership.html | |

**Brief Program Description:** The Western EdD is focussed exclusively on the field of Educational Leadership. The degree is a course-based program with a Dissertation in Practice as a thesis. Students are admitted into a fixed cohort, and they are expected to stay with this cohort throughout their program. Western University uses a group of "instructional faculty" to deliver many of the courses. These faculty are not part of the tenured or tenure track core of Western faculty.

**What differentiates the new program from this existing program:** The Ontario Tech EdD is offered under a broad general theme and not a narrow specialization. We work within a framework that recognizes technologies as central to modern professional practice. Ontario Tech uses a flexible phased cohort model where students share an online learning community with other students in each phase of their program. This helps with supporting student success and with retention if students fall out of their initial cohort. The Ontario Tech degree has a thesis research project. The focus of the research for this degree is applied to areas of professional practice. The core graduate faculty in the Ontario Tech EdD are drawn from within the university.

| Institution Name | Credential Level and Program Name |
|---|---|
| Nipissing University | Doctoral. PhD in Education (Educational Sustainability) |

**Link to Program Web Page:** https://www.nipissingu.ca/academics/school-graduate-studies/phd-education

**Brief Program Description:** The PhD degree in education at Nipissing uses a fixed cohort model under the general theme of Educational Sustainability. The program has 6 courses, a comprehensive exam and a thesis. The degree has no formal specialized fields. The program has summer residencies with online courses in the winter.

**What differentiates the new program from this existing program:** The Ontario Tech EdD has more courses (8 as compared with 6) and more thesis laddering in these courses. The Nipissing degree has a more traditional structure with a comprehensive exam. Ontario Tech's model for all of our doctoral programs uses a candidacy exam. The Nipissing degree has a fixed cohort model while the Ontario Tech degree has a phased cohort model. The overall theme at Nipissing is Educational Sustainability while the Ontario Tech overall theme is Education in the Digital Age. The Ontario Tech degree is fully online while the Nipissing degree has a mix of summer residencies and online courses. The core graduate faculty in the Ontario Tech EdD are drawn from across the university.

# 2  Program Requirements

a) **Admission Requirements**
- *Outline the formal admission requirements; explain how these are appropriate for the program learning outcomes: How will they help to ensure students are successful? How do they align with the learning outcomes of the program?*
- *Explain any additional requirements for admission to the program such as special language, portfolio, etc. (and how the program recognizes prior work or learning experience, if applicable)*
- *Indicate the programs from which students may be drawn*

The general minimum admission requirements for a doctorate at Ontario Tech University are:
- Completion of a research project or thesis-based master's level degree from a recognized institution in the same area of graduate study or a closely related subject.
- A minimum B+ average (GPA: 3.3 on a 4.3 scale).

The admission requirements for the EdD recognize professional educational practice as well as the possibility of course based master's degrees.

EdD applicants may pursue admission under the general admission requirements for doctoral programs at Ontario Tech University. These are:
- Completion of a research project or thesis-based master's level degree from a recognized institution in the same area of graduate study or a closely related subject.
- A minimum B+ average (GPA: 3.3 on a 4.3 scale).

Applicants' educational professional practice will be considered in the admissions process. In addition, EdD applicants may be admitted with a course-based master's level degree from a recognized institution in education or a closely related subject.

Applicants who hold a course-based masters will be required to show evidence of their ability to:
o   Define a research question or problem;
o   Devise a research design; and
o   Analyze and report research findings in an academically rigorous manner, such as a major academic paper.
This evidence may include professional documents that demonstrate the ability to conduct and report on research at a graduate level.

All successful applicants will be assigned a thesis supervisor in the admissions process. Applicants should contact potential supervisors as part of the application process in order to assess whether there is appropriate support for their potential thesis research. The match between a students' qualifications and area of interest, and the expertise of faculty available for supervision, is a criterion for admission. The supervision topic areas available for each application cohort will be published on the Ontario Tech website where the faculty members available for supervision will be profiled.

Supporting Document Requirements

A number of supporting documents must be submitted to the School of Graduate and Postdoctoral Studies to complete an application for admission.
Applicants must submit the following supporting documentation with their application:
- A minimum of two letters of recommendation must be completed by individuals having direct knowledge of the applicant's academic and relevant professional competence.

- Proof of English proficiency if the first language is not English. See the UOIT policy on English language proficiency.
- One official or certified copy (certified by the institution) of each previous undergraduate and graduate transcript.
- A one- to two-page statement of academic intent outlining the applicant's objectives in undertaking graduate study at the doctoral level.
- A photocopy of the applicant's degree parchment(s).
- Evidence of professional experience.

Applicants may also be asked to submit a brief description of the courses listed on the official transcripts or provide a copy of the relevant calendar in which they are listed.

## English Language Proficiency

The requirements for admission to the EdD are higher than the minimum standard at Ontario Tech University, with a minimum score of 580 on the paper-based TOEFL, 92-93 on the Internet-based TOEFL or 7 on the IELTS. The following wording has been adapted from the general university regulations.

All applicants are required to give evidence of their oral and written proficiency in English. This regulation outlines the standard ways that applicants must use to satisfy the English language proficiency requirement. The English language proficiency requirement may be satisfied with one of the following:

- Your mother tongue or first language is English.
- You have studied full-time for at least three years (or equivalent in part-time studies) in a university degree program where the language of instruction and examination was English or you have completed a university degree program where the language of instruction and examination was English. UOIT may ask you to provide official verification from your university that the language of instruction and examination was English. Please note: The minimum three-year requirement does not include full-time enrolment in English as a Second Language (ESL) programs.
- You have successfully completed all levels of an approved English for Academic Purposes (EAP) program that has been designed for university preparation. Information on whether a particular program is approved as satisfying the English proficiency requirement can be obtained from the School of Graduate and Postdoctoral Studies.
- You have achieved the required proficiency as listed below on one of the tests in English language acceptable to UOIT. Test results dated more than 24 months prior to the date of the application for admission to UOIT will not be considered. An official test score is required.

Please note: If you take an approved English language proficiency test, then its score shall prevail as the determining evidence of your English language proficiency.

UOIT's School of Graduate and Postdoctoral Studies only accepts IELTS scores in the Academic testing format. Scores from the IELTS General Training format will not be accepted.

Applicants are advised to consult the Graduate Studies website for the most current requirements for their program.

Applicants must arrange for original test scores to be sent directly from the testing centre to the School of Graduate and Postdoctoral Studies. UOIT's TOEFL Code is 7178. Applicants need to provide this code to TOEFL at the time of testing in order for test scores to be forwarded to Ontario Tech University.

Notwithstanding the above, individual applicants may be able to establish their spoken and written English language proficiency through some other combination of education, work experience or testing. Individual candidates who wish to establish their English language proficiency other than the ways outlined in this section should contact the School of Graduate and Postdoctoral Studies. Despite the possibility of other options, please note that a test score from an approved English language proficiency test still prevails as the determining evidence of your English language proficiency.

The only exception to the English language proficiency admission requirement is if you are a Canadian citizen who has completed a degree at a Canadian university where the language of instruction is French.

Ontario Tech University reserves the right to test the English language proficiency of all students and to require further English language training.

**b)** Program Learning Outcomes and Assessment of Student Knowledge

- *In Table 3 below, please describe what the student will know or be able to do (knowledge, methodologies, and skills) by the end of the program and indicate how that knowledge or skill will be demonstrated*

*Degree Level Expectations are set by the Quality Council of Ontario and should not be modified. For the list of and more information on these expectations, including a detailed description, visit their website.*

## Table 3: Program Learning Outcomes

| Program Learning Outcomes By the end of the program, students graduating will be able to… | Degree Level Expectations | Relevant courses (provide course code and course title) | Assessment of Learning Outcomes |
|---|---|---|---|
| • Identify and investigate complex educational problems to provide research-informed, professionally grounded solutions. | • Level of application of knowledge<br>• Research and scholarship | • EDUC 7001G EDUC 7002G EDUC 7003G EDUC 7006G electives<br>• Candidacy exam<br>• Thesis | • essays<br>• presentations<br>• supervisory committee progress reports<br>• thesis proposal<br>• successful candidacy exam<br>• successfully defended thesis |

| | | | |
|---|---|---|---|
| • Demonstrate fluency and in-depth critical understanding of digital technologies used in educational research. | • Research and scholarship<br>• Depth and breadth of knowledge<br>• Level of application of knowledge | • EDUC 7001G EDUC 7002G EDUC 7004G<br>• Candidacy exam<br>• Thesis | • essays<br>• research designs<br>• presentations<br>• successful candidacy exam<br>• successfully defended thesis |
| • Produce original research and writing that meets the scholarly standards in the field of education. | • Depth and breadth of knowledge<br>• Research and scholarship<br>• Awareness of limits of knowledge | • EDUC 7002G EDUC 7003G EDUC 7004G EDUC 7005G<br>• Candidacy exam<br>• Thesis | • essays<br>• research designs<br>• presentations<br>• successfully defended candidacy exam<br>• successfully defended thesis |
| • Incorporate divergent literacies, perspectives, and disciplines when analysing, evaluating, and articulating positions on research, policy, or practice for education in the digital age. | • Depth and breadth of knowledge<br>• Research and scholarship<br>• Level of application of knowledge<br>• Awareness of limits of knowledge<br>• Professional capacity/autonomy | • EDUC 7001G EDUC 7003G EDUC 5xxxG electives<br>• Candidacy exam<br>• Thesis | • essays<br>• presentations<br>• literature review in the candidacy exam<br>• thesis proposal<br>• thesis argument |
| • Employ relevant research methodologies and theoretical underpinnings for framing and analyzing problems of educational practice in the digital age. | • Depth and breadth of knowledge<br>• Research and scholarship<br>• Level of application of knowledge<br>• Professional capacity/autonomy | • EDUC 7002G EDUC 7003G EDUC 7005G EDUC 7006G<br>• Candidacy Exam<br>• Thesis | • essays<br>• presentations<br>• Successful candidacy exam<br>• thesis proposal |

| | | | |
|---|---|---|---|
| • Articulate the ways that uses of digital technology in education inform and are informed by the social, cultural, community, institutional, and policy context. | • Level of communication skills <br> • Professional capacity/autonomy | • EDUC 7001G <br> EDUC 7003G <br> EDUC 5xxxG electives <br> • Candidacy Exam | • essays <br> • presentations <br> • successful candidacy exam |

- *Selecting a few examples from above, explain in detail how the program design and requirements support the attainment of the Program Learning Outcomes*
- *With assistance from the Academic Planning Officer in CIQE (ciqe@ontariotechu.ca), please provide further details on the Assessment of the Program Learning Outcomes, as outlined in the Quality Council's Quality Assurance Framework Section 2.1.6 - Assessment of teaching and learning:*
  - *Appropriateness of the proposed methods for the assessment of student achievement of the intended program learning outcomes and Degree Level Expectations (How will students demonstrate they have learned and can do what we expect them to by the end of the program?).*
  - *Completeness of plans for documenting and demonstrating the level of performance of students, consistent with the Degree Level Expectations (How will the effectiveness of the program be assessed?)*

Below are some illustrations of the connections between learning outcomes, the program elements, and assessment. We provide more detail for the first outcome and highlight central elements for the remaining. Learning outcomes overall are assessed on an ongoing basis by each student's supervisory committee. Student progress reports are submitted each term by the committee to the Graduate Program Director.

*Identify and investigate complex educational problems to provide research-informed, professionally grounded solutions.*

The EdD programs leads students through a series of steps in identifying and investigating researchable problems connected to problems of practice.

The EDUC 7001G course Doctoral Seminar I: Critical Issues in Education in the Digital Age provides students with an orientation to the analysis of complex educational problems. This course engages students in an overview of educational issues in the digital age. This course focusses on how educational researchers and practitioners identify, understand and interrogate complex issues. Students will be required to address how to identify researchable problems in their own interest areas in professional practice. Learning outcomes in this course will be assessed through essays and presentations.

EDUC 7002G Doctoral Seminar II: Research Perspectives and Methods is a research methods seminar that helps to ladder students through the process of identifying the

methods that they will use in their research. The essays and presentations students create in this course will focus on developing research designs connected to their area of interest.

EDUC 7003G Doctoral Seminar III: Thesis Proposal Development is a course that ladders students through the process of creating a thesis proposal in preparation for the candidacy exam. Students will be working with their supervisors during this time on their thesis proposal development. The EDUC 7003G course provides the student with a peer learning community where the developing thesis proposals of all students in the cohort are shared. This course adopts a pass/fail grading system since its main focus is in providing peer engagement. The final assessment of the value of the thesis proposal will happen in the candidacy exam, which will normally be taken within six months of completing EDUC 7003G. Assessment in this course is focussed on the mechanics of producing a proposal plan including a literature review.

While students are taking the above courses, their supervisory committee will be directing the form and substance of the developing thesis proposal in the lead up to the candidacy exam. In accordance with university regulations, students are evaluated by their supervisory committee in every term and a report is filed with the graduate program director. Students are evaluated as having satisfactory progress, difficulties with progress, or unsatisfactory progress in this report. This rating is given for the student's progress overall as well being specified for research progress, research plan, requisite knowledge, research skills, and motivation/work ethic. Receiving an overall unsatisfactory rating, places a student on probation. Students with difficulties or unsatisfactory ratings are given support and direction through a learning plan. A second unsatisfactory rating in a row results in withdrawal from the program. The learning outcome of identifying and investigating complex educational problems is supported by this supervision and assessment experience.

Elective courses also will contribute to attaining this learning outcome. Electives are selected with the guidance of the supervisory committee so as to connect to students' professional practice interest areas. These elective courses help to channel students in identifying issues connected to practice. Modes of assessment in graduate electives vary but concentrate on forms of writing (most commonly essays) and presenting.
The Candidacy exam combines a thesis proposal with a literature review. Identifying a researchable problem of practice is a focus of the exam. The outcomes are assessed by passing both the written and oral elements in the candidacy exam.

The thesis is directed at identifying and investigating complex problems of educational practice. The successful completion and defense of the thesis is a powerful form of assessment in relation to this outcome.

*Demonstrate fluency and in-depth critical understanding of digital technologies used in educational research and professional practice.*

It is hard to imagine modern research without the use of digital technologies. However, it is important for students to combine technical fluency with critical understanding. Students

will demonstrate critical fluency in the use of digital technologies in research in the methodological seminars, EDUC 7002G and EDUC 7004G. Students may vary in their application of digital technologies in research but these methodology courses are learning community seminars where students are exposed to, and influenced by, the work of their peers. The fluency and in-depth critical understanding of digital technologies in research will be assessed in the writing and presentations in these methodology courses. All students will have to demonstrate fluency in the use of digital technologies in their thesis research. This will be reflected in the candidacy exam as well as in the final thesis.

*Produce original research and writing that meets the scholarly standards in the field of education.*

The student's supervisory committee will be focussed on mentoring the student to meet the scholarly standards within the field of education in research and writing. These outcomes are assessed throughout the program by the committee in the research progress reports that are filed each term. The final assessment of this outcome is the successful thesis defense. The series of laddering courses also contribute to this outcome. The research courses, EDUC 7002G and EDUC 7004G, focus on research standards. EDUC 7005G concentrates on writing standards. The thesis proposal development course EDUC 7003G leading up to the candidacy exam is a combination of scholarly standards for both writing and research as is the candidacy exam. Students will be producing writing and research through these course experiences that meets the scholarly standards in the field of education. The EdD is a professional degree that will allow the incorporation of creative professional practice materials. Our thesis description clarifies these inclusions.

> An EdD thesis must contain a substantial contribution of new knowledge to the field of study. It presents the results and an analysis of original research and should be significant enough to be published. One part of the dissertation may take the form of a document (or its equivalent in a non-print medium) of the kind commonly used in the field, such as a policy handbook or policy document, an action plan, a white paper, a curriculum or project design, a program evaluation, an institutional reorganization, a community development prospectus, or any other relevant innovative professional practice undertaking. If any such materials are included then the candidate must provide, as part of the dissertation, documentation sufficient to allow others to follow the line of reasoning and evaluate the originality, usefulness, and credibility of the work.

*Incorporate divergent literacies, perspectives, and disciplines when analysing, evaluating, and articulating positions on research, policy, or practice for education in the digital age.*

Incorporating divergent literacies, perspectives, and disciplines starts with the multi-disciplinary and cross university graduate faculty that supports the EdD. EDUC 7001G Doctoral Seminar I: Critical Issues in Education in the Digital Age introduces students to this diversity of disciplines and perspectives. The writing and presenting that students produce in this course must engage with this intellectual diversity as they locate their own

problematics. EDUC 7003G prepares the student for the candidacy exam by working through the components of the thesis proposal and the literature review. The literature review must address the diversity of perspectives. The thesis proposal and argument must locate the analysis within a broad context of divergent literacies, perspectives and disciplines. The elective courses will expose students to a range of perspectives.

*Employ relevant research methodologies and theoretical underpinnings for framing and analyzing problems of educational practice in the digital age.*

Students must demonstrate that they can employ relevant research methodologies and theoretical underpinnings in their candidacy exam and in their thesis research. This outcome is reinforced in the methodology and analysis courses EDUC 7002G, EDUC 7003G, and EDUC 7005G.

*Articulate the ways that uses of digital technology in education inform and are informed by the social, cultural, community, institutional, and policy context.*

This learning outcome speaks directly to the overall theme of Education in the Digital Age. This theme provides the context for the specific thesis research topics. All students will be able to articulate these dynamics. Some students will address these issues as part of the broader context for their work. Other students will focus more directly on some aspect of the social, cultural, community, institutional or policy context and its relationship to digital technologies. No matter the variability in detail, all students will be able to articulate these relationships. The focus of EDUC 7001G Critical Issues in Education in the Digital Age will anchor these considerations. Students will demonstrate an ability to articulate these dynamics as part of the breadth requirement in the candidacy exam. There will be some variability in opportunities for demonstrating this outcome depending on electives and on the focus of the thesis research.

**c)** Program Structure and Content

- *Describe the requirements and structure of the program. Is it full-time/part-time? Is this an online or partially online program? What are the unique curriculum or program innovations or creative components in this program?*
- *Provide evidence that each graduate student is required to take a minimum of two-thirds of the course requirements from among graduate-level courses*
- *What is the program length? Provide a rationale for the length that ensures the program requirements can be reasonably completed*
- *Address how the programs structure will help students to meet the program learning outcomes and Degree Level Expectations*

All students are registered full-time. All courses, and other program milestones, including the thesis defense are conducted online. There is no physical residency requirement for the EdD degree, but the use of a synchronous online model for all coursework and formal requirements will not preclude conventional face-to-face interactions if students are physically co-located with faculty. For example, students may conduct research in a physical lab on campus. All the courses

in the program are graduate level courses, and all the required EDUC 7xxx courses are offered only to EdD students.

The EdD program is designed to provide support through an active online learning community. The working professionals who are the main target population for the degree will be supported through a series of online synchronous core and elective courses and milestones that step students through the program, including their thesis research. The synchronicity of the courses is a central component of the student experience. The Faculty of Education has been very successful in its synchronous online master's programs with an over 95% completion rate. Our established graduate course model of using highly interactive synchronous online seminars will be continued in the EdD. Another aspect of the success of this model is its convenience and flexibility for working professionals. There is no physical residency requirement for the EdD degree, although the use of a synchronous online model for all coursework and formal requirements will not preclude conventional face-to-face interactions if students are physically co-located with faculty. For example, students may conduct research in a physical lab on campus.

Continuous supervision is a key element in supporting student progress in an online environment. Students will be admitted based on the admissions criteria, but also for their fit with available supervisors within an admission cohort. This will allow supervision to begin as soon as the student enters the program. Although it is expected that some students may change supervisors, the program relies on a supervision relationship throughout.  Supervisory committees will guide the student in the selection of electives, and in their progress through the core requirements. Mentorship in developing a research project associated with the student's chosen area of research and practice begins at the start of the program, and it is expected that students will begin their research on their thesis project under the direction of their supervisory committee during their first year. As students' progress through the program many of the core doctoral seminars will provide a peer community sounding board for work that is traditionally handled solely by a supervisory committee in more conventional academic doctoral programs. The five core doctoral seminars in the program ladder students through a series of steps in the development of a thesis: focusing on a problem (EDUC 7001G), selecting the methods appropriate to the thesis project (EDUC 7002G), developing a thesis proposal (EDUC 7003G), the analysis of gathered data and other information (EDUC 7004g), and writing the thesis (EDUC 7005G). All these components of the thesis project are completed under the direction of the supervisory committee. This common core of seminars provides a shared online learning community experience for students and a structured thesis project development sequence for both students and supervisors. Student theses in the EdD will be coordinated with the areas of expertise of the faculty members available to supervise for each admission cohort.

The EdD is structured around three program phases. Each phase has a different focus as students move through the program. Phase one is where the student defines issues and refines foundational skills. Phase two is focussed on thesis proposal development and the candidacy exam. Phase three is focussed on thesis analysis and writing. Each of these phases has core courses where students are part of a learning community. If students take longer in one phase than some of their phase cohort, they will join up with other students in the next phase, so they are always supported in a learning community that is connected through a shared experience

within each phase. It will be possible for students to complete each phase within a year for a program that can be completed in 3 years, but given the busy schedules of working professionals, some students may take longer to complete. Students in each phase of the program are supported by a cohort experience based in the common core courses and tasks required in that phase. This phased cohort experience provides a flexible online learning community support structure throughout a student's progress.

The first phase is an orientation to the program and provides students with the tools to define and refine the focus of their research. There are two core doctoral seminars in this phase: EDUC 7001G Doctoral Seminar I: Critical Issues in Education in the Digital Age offered in the fall term, and EDUC 7002G Doctoral Seminar II: Research Perspectives and Methods offered in the winter term. Students who have not taken a graduate level research methods course in education or the social sciences will be required to take EDUC 5002G Research Methods before being admitted to EDUC 7002G. Students will explore their substantive interests through their elective courses during the first and second phases of the program. The three required elective courses are taken from the pool of substantive graduate courses available within the graduate programs in the Faculty of Education. Under the guidance of their supervisory committee students may substitute EDUC 7006G Doctoral Internship for a substantive elective. This is a supervised reflective field placement in the area of professional practice that is the focus of the thesis project.

The second phase of the program has students focussing on the development of their thesis proposal and completing the candidacy exam. The candidacy examination determines if the candidate has the knowledge and expertise to undertake a thesis and is a requirement for all doctoral research degrees at Ontario Tech. The exam consists of a thesis proposal that includes a literature review and an oral presentation. Students are supported in the development of the thesis proposal and in the preparation for the candidacy exam through a core course, EDUC 7003G Doctoral Seminar III: Thesis Proposal Development, that is offered in the fall term. The formal elements of the candidacy exam will be set out in this course. Students will produce a literature review in the course that will form the basis of the literature review section of their thesis. The supervisory committee will be guiding the student thesis proposal development, and in the scope and focus of the literature review. The course will provide a guide to the formal requirements and an online learning community where students will present their developing work to their peers. The candidacy exam is normally taken in the winter term. Any additional substantive electives are meant to be completed within this phase of the program.

The third and final phase of the program is focussed on completing research, conducting analyses, and writing and defending the thesis. Students are supported in this phase with two core courses. EDUC 7004G Doctoral Seminar IV: Analysis in the Research Process is offered in the fall term. Students' research will be quite varied, and this seminar will provide students with the opportunity to share their emerging analysis with other students. The direction and form of student's individual analysis will be set in consultation with their supervisory committee. The Analysis seminar provides a learning community forum for this work. EDUC 7005G Doctoral Seminar V: Thesis Writing will be offered in the winter term. Writing and formatting support will be provided in this seminar and students will have to opportunity to showcase aspects of their thesis.

It is expected that completing the three phases of the program in three years will be possible for students who are well organized and focussed. We anticipate that only four of our initial 15 students will complete in three years. Of the estimated twelve completing students five students from this cohort are estimated to complete in year four with the remaining three students completing in year five. It is anticipated that students taking more than three years either take more time in phase one when they are getting oriented or in phase three when they are completing their thesis. In accordance with Ontario Tech doctoral regulations students will have up to six years to complete the degree. Below is a program map that illustrates completion in 3 or more years.

|  | Fall | Winter | Spring/Summer |
|---|---|---|---|
| Year 1 (Phase 1) | EDUC 7001G Critical Issues in Education Elective | EDUC 7002G Research Perspectives and Methods Elective | Elective |
| Year 2 (Phase 2) | EDUC 7003G Thesis Proposal Development | Candidacy Exam | Thesis research |
| Year 3 (Phase 3) | EDUC 7004G Analysis in the Research Process | EDUC 7005G Thesis Writing | Thesis defense |
| Years 4 to 6 | If required | If required | If required |

- *Describe the ways in which the curriculum addresses the current state of the discipline*
- *For researched-focused graduate programs, provide a clear indication of the nature and suitability of the major research requirements for degree completion*

In addition to the guidance of the supervisory committee, the thesis requirement is supported through a series of courses that step students through the development and completion of their research. These courses provide instruction, but also help to create an online learning community among students in the same phase of the program. The thesis research is focussed on professional practice in education in the digital age. This research area will be directly relevant to the student's own professional interests and/or area of practice. The general theme of Education in the Digital Age together with the online delivery format will serve to recruit students with a broadly shared set of interests. This will support building an online learning community.

- *Is there an experiential learning component (e.g. workplace learning, co-op, internship, field placements, service learning, mandatory professional practice) to the program? If yes, please describe this component in 2500 words or less. Include confirmed partners, duration of the experiential learning component(s), and projected number of placements (where applicable)*

The EdD is targeted at working professionals and it is expected that they will bring their work experience to the degree. The thesis research will be focussed on a topic connected to professional practice. Under the guidance of their supervisory committee students may substitute EDUC 7006G Doctoral Internship for a substantive elective. This is a supervised reflective field placement in the area of professional practice that is the focus of the thesis project.

- *Describe how the potential need to provide accessibility accommodations has been considered in the development of this program*

The program relies on the Ontario Tech University's existing accessibility supports. There are no physical accessibility issues with the EdD as it is being offered online.

**d)** Calendar Copy with Program Map(s)

- *Provide, as Appendix A, a clear and full calendar copy. Please use the template provided in Appendix A to create the Calendar Copy for the new program. This template ensures consistency across all programs in the Academic Calendar*
  - o *If the program is to be accredited, include with this Appendix the accreditation tables, if available*
- *Provide, as Appendix B, a full list of the all courses included in the program including course numbers, titles, and descriptions. Please indicate clearly whether they are new/existing. Include full course proposals for new courses, and the most recent course syllabi for existing courses. If you are making changes to existing courses, include instead a course change form.*

Please see Appendix A for proposed calendar copy.

Please see Appendix B for a full list of the course numbers and titles with new course proposals and syllabi for existing courses.

# 3 Consultation

- *Describe the expected impact of the new program on the nature and quality of other programs delivered by the home and collaborating Faculty(ies) and any expected impact on programs offered by other Faculties*
- *Outline the process of consultation with the Deans of Faculties that will be implicated or affected by the creation of the proposed program*
- *Provide letters of support for the program from Deans at Ontario Tech and/or from other institutions/partners*

There is no impact on other programs. All of the course teaching for the new doctoral specific courses will be assigned to core faculty within the Faculty of Education. Graduate faculty outside of the Faculty of Education have the supervision of graduate students as part of their professional responsibilities. The EdD will provide an opportunity for faculty

members to supervise in educational topic areas connected to their expertise. Faculty members are free to take on these responsibilities and all of the faculty members included in this proposal have agreed to do so. Should any tenured faculty members outside of the faculty of education wish to teach courses in the EdD this will be approved with their home faculty dean. Some associate graduate faculty members outside of the core university faculty presently teach as adjuncts with sessional appointments in the Faculty of Education graduate programs. This practice will continue.

Does this Program/Change contain any Indigenous content?    ☐ Yes ☒ No    ☐ Unsure
*For more information on how Indigenous content is defined at Ontario Tech University and how to consult with the Indigenous Education Advisory Circle (IEAC), please refer to the [Protocol for Consultation with the Indigenous Education Advisory Circle.](#)*

Has the IEAC been contacted    ☐ ☒No

If yes, when?

What was the advice you received from the IEAC, and how has it been included in your proposal?

Did the IEAC ask you to return the proposal to them for review?    ☐ Yes    ☐ No

If yes, have they completed their review?    ☐ Yes ☐ No    ☐ N/A

# 4  Resource Requirements

**a)**  General Resource Considerations

- *Note here if this new program may impact significant enrolment agreements with the Faculty/Provost's office.*
- *Indicate if the new program will affect any existing agreements with other institutions, or will require the creation of a new agreement. Please consult with CIQE ([ciqe@uoit.ca](mailto:ciqe@uoit.ca)) regarding any implications to existing or new agreements.*

There are no impacts on enrollment agreements or agreements with other institutions.

**b)**  Faculty Members - Current and New Faculty Requirements

- *Brief statement to provide evidence of the participation of a sufficient number and quality of faculty who will actively participate in the delivery of the program*
- *The role of any sessional faculty*
- *The provision of supervision of experiential learning opportunities; how will supervisory loads be distributed?*
- *The plan to provide additional faculty resources to support the program, if needed*
- *Complete Appendix C, detailing the list of faculty committed to the program (template in Appendix) and provide any additional details, if necessary; the information in the Appendix or additional information must include clear evidence that faculty have the recent research or professional/clinical expertise needed to sustain the program, promote innovation, and foster an appropriate intellectual climate.*
-

The faculty members in the EdD degree are drawn from across the university in the Faculties of Education (FED), Science (FS), Health Sciences (FHS), Social Science and Humanities (FSSH), Business and Information Technology (FBIT), and Engineering and Applied Science (FEAS). This cross-faculty and cross-disciplinary graduate faculty for the EdD is a differentiator and a strength for the program. The boundaries between faculties at Ontario Tech are permeable. Academic programs are organized without departments (except for the Faculty of Engineering and Applied Science) and can draw on faculty members from across Faculties and disciplines. There are strong connections across the university in many topics of central importance to the EdD.

Graduate faculty privileges at Ontario Tech are granted by program. Ontario Tech has two types of graduate faculty appointments, Graduate Faculty, and Associate Graduate Faculty. Graduate Faculty have full graduate privileges in relation to a graduate program. Graduate Faculty must be tenured or have tenure track appointments with Ontario Tech. Graduate Faculty appointments are approved and reviewed through the Dean of Graduate Studies and the School of Graduate and Postdoctoral Studies. Graduate Faculty can be nominated as part of the process of establishing a new degree or at any time after a degree is established. These appointments are reassessed whenever a program is reviewed, and an individual's privileges can be revoked for cause at any time. Associate Graduate Faculty have limited privileges. They cannot solely supervise a thesis student and are able to be restricted in other ways. Associate Graduate Faculty are appointed by the program Dean for a three-year term and must be renewed to continue their appointment. Most Associate Graduate Faculty have adjunct appointments to the university. They may be working professionals or faculty at other institutions. Professors Emeriti also can be Associate Graduate Faculty.

There are forty-two faculty members in the degree proposal, thirty-two Graduate Faculty and ten Associate Graduate Faculty. The Faculty of Education is at the centre of a network that forms the backbone of the graduate faculty for the EdD. Common research, granting, student supervision, and authorship are at the heart of this graduate faculty. For example, Janette Hughes (CRC-FED) has collaborated with Chris Collins (CRC-FSc) on "There's

and App for That" from the Ontario Research Fund - Research Excellence fund. In addition, Dr. Hughes is part of a recent application with Khalid Elgazzar (CRC-FEAS), Isabel Pederson (CRC-FSSH) and Andrea Slane (FSSH) to apply for a Collaborative Research and Training Experience grant. There are many other common grants and applications among the graduate faculty across academic units with faculty members outside of FED including Emma Bartfay (FHsc), Khadlid Elgazzar (FEAS), Bill Kaprolos (FBIT), Shanti Fernando (FSSH), Alyson King (FSSH), and Jennifer Percival (U. Mass - formerly FBIT). There are many co-supervisions of graduate students, unfunded research collaborations and co-authorships. Alyson King taught in FED and then moved to FSSH. Dr. King has co-authored with Allyson Eamer (FED) and Janette Hughes and is presently collaborating with Brian Campbell (FSSH+FED). Brian Campbell came to Ontario Tech as a professor in FSSH but has in recent years taught in the MEd/MA graduate program. Brian Campbell, Bill Hunter and Alyson King all have been organizers of the Higher Education in Transformation Conferences (HEIT) with the Technological University Dublin. Many of the EdD graduate faculty have presented at the HEIT conferences including, Jordanne Christie (Durham College), Catherine Drea (Learning Innovation), Shahid Alvi (FSSH), Thomas McMorrow (FSSH), Brenda Gamble (FHSc) Cormac Doran (Trinity), and Wesley Crichlow (FSSH). Dr. Crichlow is an OISE graduate who has taught at OISE and has had longstanding ties with education. Isabel Pederson (CRC-FSSH) has supervised in the MA in Education and is now heading the Digital Life Institute that is based in FSSH and includes Janette Hughes as well as Tanner Mirrlees (FSSH). The academic community at the EdD graduate faculty is built on intersecting qualifications and collaborations both inside and outside the Faculty of Education.  All degrees at Ontario Tech have a Graduate Program Director (GPD) who is responsible for the management of the program under the general authority of the program's home Dean, in this case the Dean of the Faculty of Education. There are standing and adhoc collegial committees for admissions and program administration within Faculties. Graduate program staff within Faculties also support programs. The Faculty of Education and the Faculty of Social Science and Humanities share support staff at Ontario Tech. Admissions and the general procedures and regulations for graduate programs are administered through the Dean of Graduate Studies, the School of Graduate and Postdoctoral Studies (SGPS) and its staff and committees.

All faculty members who teach in our graduate programs are part of the Graduate Committee of the Faculty of Education. We will create a standing subcommittee to our Graduate Committee, an EdD Graduate Faculty Committee, who can meet as needed. This standing committee will hold discussions and workshops on various topics connected to pedagogy, student support, and program development. This sub-committee will report to the Graduate Committee as needed. Aside from synchronous meetings we also will establish an online asynchronous doctoral graduate faculty discussion and collaboration space (using Slack or a similar type of tool) as a way to maintain our doctoral supervision community interactions. We presently use Slack within the EILab community for this type of online community space with great success and we will extend this mode of collegial interaction to the EdD graduate faculty community of practice.

Please see Appendix C for detailed faculty Information.

**c)** Additional academic and non-academic human resources

- *Give details regarding the nature and level of Sessional Instructor and TA support required by the program, the level of administrative and academic advising support, etc.*
- *Please describe the plan to provide additional resources to support the program, if needed*

Some of the Associate Graduate Faculty for the degree are working professionals with adjunct appointments. Additional adjunct appointments will be made over time to include other working professionals to sit on supervisory committees to support different areas of professional practice. Core Graduate Faculty from within the Faculty of Education will teach the doctoral specific courses in the program. The new graduate courses as well as the additional enrolments in the pool of graduate courses in the Faculty of Education will require five sessional hires in the first year of the program. This will rise to six in year two of the program but will decline in year three to four sessional hires because of the addition of one tenure track position in that year. The recurring sessional hires will stabilize at four per year from that point forward. There will be a requirement for a 50% graduate program assistant position for years one and two. This position will be increased to full-time in year three. The program assistant will support the application process, student progress reports in each term, the candidacy exam process, the thesis defense process, and the final submission of thesis documents.

**d)** Existing non-financial student supports

All graduate students have access to an extensive support system that ensures a quality student experience. In addition to the outlined services below, students may also take advantage of the Campus Childcare Centre, Campus Bookstores, Housing and Living Resources, as well as the Student Union. Further information can be found at:
http://studentlife.uoit.ca/

**Faculty-Specific Support**

*Academic Advising (if relevant)*
*Please provide details on your Faculty Academic Advising Office and supports.*

All students will have a supervisory committee that will guide them through the program. There also is an academic advisor in the Faculty of Education. Course registration, student progress reports, committee tracking, candidacy exam and thesis processes, and milestone forms and documentation are supported by a Graduate Program Assistant. A second Graduate Program Assistant position will be added as part of the roll out of the program.

**School of Graduate and Post-Doctoral Studies**

Quality graduate and postdoctoral education combines teaching, research, professional development, disciplinary community involvement and personal growth.  It is by nature a shared responsibility between students, faculty members, the programs and a large number of support units, with overarching administration being provided by the School of Graduate and Postdoctoral Studies.

The School of Graduate and Postdoctoral Studies furthers the scholarly mission of the university by providing academic and administrative support to the university's postgraduate educational, research, innovation and international activities. Our responsibilities include graduate program development, graduate enrolment management, oversight of academic and quality standards, and the implementation of policies and practices that enhance graduate/postdoctoral scholarly success, career readiness and personal growth. SGPS supports prospective, new and current graduate students through many administrative services including, but not limited to, recruitment, admission, registration, funding and scholarships, orientation, professional development workshops and events, and processing of final theses, projects and papers. SGPS is a single-point-of-contact, multifunctional administrative unit tailored to the complete "life-cycle" of graduate students, providing coordinated support to students and all other stakeholders.

## Student Life

### Student Learning Centre
The Student Learning Centre fosters a high level of academic excellence in the Ontario Tech community by working with all Ontario Tech students, undergraduate and graduate, to achieve educational success. Foundational knowledge and prerequisite skills are essential to all university level courses, and competency with these skills is vital for strong academic performance. The subject specialists offer support services in mathematics, writing, study skills, ESL and physics. With the additional support of peer tutors and workshops, the Centre can further accommodate the needs of a specific course or program. http://studentlife.uoit.ca/student-learning/

### Student Accessibility Services
The staff work as a collaborative team to ensure students with disabilities have equal opportunities for academic success. The SAS operates under the Ontario Human Rights Code (OHRC) and the Accessibility for Ontarians with Disabilities Act (AODA). Services are provided for students with documented disabilities. Accommodation supports include but are not limited to:
- Adaptive technology training;
- Alternate format course material;
- Learning skills support;
- Testing support; and
- Transition support for incoming students.

### Careers and Internships
The Career Centre offers comprehensive career service assistance and a variety of valuable resources to help students along their career paths:
- Assistance with creating effective job-search documents;
- Career Counselling;
- Interview preparation;
- Job market information; and
- Job search strategies.

A variety of events hosted on campus during the academic year including employer information and networking sessions, job fairs, and interviews conducted by leading employers.

### *Student Engagement and Equity*

The Student Engagement and Equity supports students' successful transition into the university and provides opportunities for them develop your leadership and professional skills throughout their university career.

Services provided through Student Engagement and Equity includes:
- Orientation and events through first year
- Specialized programming for first generation, graduate, indigenous, international, mature, online, transfer, and diploma-to-degree pathways students
- Equity and inclusivity programming
- Assistance and advice for living off campus
- Peer mentoring to help students through first year
- Opportunities to grow and develop leadership skills through the Ambassador program.

### *Student Mental Health Services*

Student Mental Health Services helps students learn how to better manage the pressures of student life. Students can:
- Attend a drop-in session;
- Participate in events and activities that promote positive health and well-being;
- Access tools and resources online to learn about mental health and how to maintain good health and wellness;
- Work with a mental health professional to address concerns;
- Contact the Student Lifeline for immediate help and assistance; and
- Get answers to frequently asked questions about mental health.

Student Mental Health Services offers short-term counselling and therapy services to students. Students in distress will also be provided support and counselling as needed. There is no cost and services are confidential. For students who need long-term counselling support or specialized mental health services, UOIT will provide referrals to assist the student in accessing resources in the local community or in the student's home community.

### *Athletics and Recreation Faculties*

UOIT offers a number of recreation facilities and fitness opportunities to meet all lifestyles and needs. On-campus facilities include the state-of-the-art FLEX Fitness Centre which overlooks Oshawa Creek, five gymnasiums, a 200-metre indoor track, two aerobic/dance studios, the Campus Ice Centre, Campus Fieldhouse, a soccer pitch, a fastball diamond, squash courts and an indoor golf-training centre.

### *Campus Health Centre*

The Campus Health Centre provides assistance in numerous confidential health-care options including:

- A medical clinic with daily access to physician and nursing staff;
- Allergy injections, immunizations and influenza injections;
- An on-site laboratory (blood work, STI testing, throat swabs, etc.);
- Treatment of disease, illness and injury;
- Complementary Health Services featuring acupuncture, chiropractic, custom orthotics, massage therapy, nutritional counselling and physical therapy; and
- Gynaecological health-care and prescriptions.

***Student Awards and Financial Aid***

Student Awards and Financial Aid (SAFA) is dedicated to helping students understand the variety of options available to finance their education. Budgeting and financial planning are essential to their success and Student Awards and Financial Aid is on hand to help create the right financial plan. Financial assistance can be in the form of bursaries, employment (both oncampus and off), parental resources, scholarships, student lines of credit and the Ontario Student Assistance Program (OSAP).

## **Information Technology Resources**

IT Services strives to provide quality services to students at Ontario Tech. To support these objectives, the following components are included:

- Wireless network
- Wired network
- IT Service Desk
- General workstations
- Printing services

*Wireless network*

Wireless internet connection is available in public areas and open-air locations around the Ontario Tech campus where students congregate (North Oshawa and Downtown locations).

*Wired network*

To ensure the success of the technology-enriched learning environment, a comprehensive data network has been installed on campus. This includes a network drops in lecture halls and designated areas as well as network drops for each residence suite.

Ontario Tech students benefit from networked classrooms and learning spaces. Each ergonomically-designed space has data network connection access and electrical connections to ensure battery regeneration. In addition, classrooms include electronic projection equipment and full multimedia support.

## Teaching & Learning Centre

The mission of the Teaching and Learning Centre (TLC) at Ontario Tech is to empower faculty to reach their potential as educators and to create a culture where effective teaching is valued. We champion the scholarship of teaching and implementation of pedagogy. We create valuable teaching and learning professional development experiences. We move UOIT towards being a leader in teaching excellence, ultimately leading to greater student success.

The TLC provides faculty with a range of tools and facilities to assist them in providing a rich learning experience for students. Experts at the TLC provide support in various areas including curriculum development, multimedia design, learning technology and in the overall improvement of teaching practice.

In addition, the TLC funds teaching-related projects from the Teaching Innovation Fund (TIF) for proposals by faculty members aimed at developing new methods in teaching and learning. The TLC facilitates teaching awards at the University and supports faculty in their application for external awards and funding opportunities that focus on teaching and learning.

**e)** Graduate student financial support
- Provide evidence that financial assistance will be sufficient to ensure quality and numbers of students
- Provide the teaching assistant hours and capacity within the Faculty
- Refer to the Business Plan (Section 4g) where appropriate

> This is a professional program with no funding requirement for students. Most students will be working professionals. Faculty members with research funds may support students,

but this is not a requirement. There is no requirement for teaching assistant employment, and this would not be workable in most cases given the employment commitments of these students.

**f)** Physical resource requirements

- *Please attach a report, as Appendix D, from the Library regarding existing library holdings and support for student learning*
- *Address any space/infrastructure requirements including information technology, laboratory space, equipment, etc. If new space is required, please complete Table 4; otherwise, please remove this Table*
- *Ideally, please provide information on the change in the number of faculty, students, administrative staff, etc. as well as information on changes in equipment and activities (additional space; the renovation of existing space; or will the current space allocation accommodate the new program)*
- *The plan to provide additional resources to support the program, if needed*

There will be no additional space requirements for course delivery as this is an online program that uses our existing set of online tools. The university presently has the online capacity to support the program through the Canvas learning management system, as well as synchronous and asynchronous video through the Kaltura suite of programs including their virtual classroom. These Kaltura modules are integrated into the Canvas LMS. Ontario Tech also has a license for Google Education, and we use Google Meet for other meetings. We also have used Adobe Connect for meetings and classrooms. Other platforms including Slack and Zoom are used by some faculty members. There is a lot of experimentation with online tools.

The EILab in the Faculty of Education hosts an education wiki that is presently used by graduate students as an authoring and learning platform. (see https://wikis.tlc.ontariotechu.ca/wikis/EDUC5001-SEP10/index.php/Main_Page).

Some students may conduct their research onsite in our existing physical infrastructure, but these demands will be light as the majority of students will be fully online.

There are only five additional courses in the program, two in the first year of operation, three by the second year, and five by the third year. By the third year of the program there will be an additional requirement of one tenure track faculty member and four sessional course appointments. A full-time additional staff position of a graduate program assistant will be required by the third year. The details of the phase in of these human resources are set out in the budget discussion below.

Please see Appendix D for a statement from the Library regarding resources to support the program.

There are no additional space requirements for course and program delivery as the EdD is a fully online program.

**g)** Business Plan

- *Provide a brief statement of the funding requirements, and insert the Program Summary tab from the Graduate Program Proposal Budget spreadsheet here as Table 5 or attach a copy as Appendix E. Also, please submit a copy of the full Excel document to CIQE, as an attachment.*
- *Complete the highlighted sections of the New Program Funding and Tuition form and submit the form to CIQE as soon as possible*

## Table 5: New Degree Program Proposed Budget Summary

| Enrolment | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| 1st year | 15 | 15 | 15 | 15 | 15 | 15 |
| Continuing Year 2 | 0 | 12 | 12 | 12 | 12 | 12 |
| Continuing Year 3 | 0 | 0 | 12 | 12 | 12 | 12 |
| Continuing Year 4 | 0 | 0 | 0 | 8 | 8 | 8 |
| TOTAL New Students | 15 | 27 | 39 | 47 | 47 | 47 |

| Revenue | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Domestic Tuition | $123,930 | $227,535 | $335,236 | $412,433 | $420,681 | $429,095 |
| International Tuition | $29,324 | $53,839 | $79,323 | $97,589 | $99,540 | $101,531 |
| Grant | $0 | $0 | $0 | $0 | $0 | $0 |
| Total Revenue | $153,254 | $281,374 | $414,558 | $510,021 | $520,222 | $530,626 |

| Course Summary | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| # of lecture sections | 5 | 6 | 8 | 8 | 8 | 8 |
| # of labs | 0 | 0 | 0 | 0 | 0 | 0 |
| # of tutorials | 0 | 0 | 0 | 0 | 0 | 0 |

| Required Hires | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| # of TTT | 0 | 0 | 1 | 1 | 1 | 1 |
| # of TF | 0 | 0 | 0 | 0 | 0 | 0 |
| # of PT Faculty | 5 | 6 | 4 | 4 | 4 | 4 |

| Expenses Academic Salaries | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| FT Faculty | $ - | $ - | $131,127 | $135,061 | $139,113 | $143,286 |
| FT Benefits (18.5%) | $ - | $ - | $ 24,259 | $ 24,986 | $ 25,736 | $ 26,508 |
| FT Total | $ - | $ - | $155,386 | $160,047 | $164,849 | $169,794 |

| | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| PT Faculty | $ 40,685 | $ 51,263 | $ 35,884 | $ 37,678 | $ 39,562 | $ 41,540 |
| Additional TAships | $ - | $ - | $ - | $ - | $ - | $ - |
| TAs | $ - | $ - | $ - | $ - | $ - | $ - |
| Lab Instructors | $ - | $ - | $ - | $ - | $ - | $ - |
| PT Benefits (11%) | $4,475 | $5,639 | $3,947 | $4,145 | $4,352 | $4,569 |
| PT Total | $ 45,160 | $ 56,902 | $ 39,831 | $ 41,823 | $ 43,914 | $ 46,110 |
| Total Academic Salaries | $ 45,160 | $ 56,902 | $ 195,217 | $ 201,870 | $ 208,763 | $ 215,904 |

| Support Staff Salaries | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Graduate Program Assistant | $30,538 | $31,454 | $62,909 | $64,796 | $66,740 | $68,742 |
| (50% of time in Y1 & Y2) | $0 | $0 | $0 | $0 | $0 | $0 |
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |

| | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |
| **Benefits (18.5%)** | $5,650 | $5,819 | $11,638 | $11,987 | $12,347 | $12,717 |
| **Total Support Staff Salaries** | **$36,188** | **$37,273** | **$74,547** | **$76,783** | **$79,087** | **$81,459** |

| **Operational Expense** | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| Instructional Supplies | $0 | $0 | $0 | $0 | $0 | $0 |
| Start-up | $0 | $0 | $10,000 | $10,000 | $0 | $0 |
| PD ($2,000/ faculty) | $0 | $0 | $2,500 | $2,575 | $2,650 | $2,725 |
| Travel | $0 | $0 | $0 | $0 | $0 | $0 |
| Recruitment/Moving Expenses | $0 | $0 | $15,000 | $0 | $0 | $0 |
| Promotion | $2,000 | $2,000 | $1,000 | $1,000 | $1,000 | $1,000 |
| Telecommunication | $0 | $0 | $0 | $0 | $0 | $0 |
| Office Supplies | $200 | $200 | $200 | $200 | $200 | $200 |
| Equipment | $0 | $0 | $0 | $0 | $0 | $0 |
| **TOTAL Operating** | **$2,200** | **$2,200** | **$28,700** | **$13,775** | **$3,850** | **$3,925** |

| **Capital** | 2022-23 | 2023-24 | 2024-25 | 2025-26 | 2026-27 | 2027-28 |
|---|---|---|---|---|---|---|
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |
| 0 | $0 | $0 | $0 | $0 | $0 | $0 |
| **TOTAL Capital** | **$0** | **$0** | **$0** | **$0** | **$0** | **$0** |

| **Total Expenses** | **$83,548** | **$96,375** | **$298,464** | **$292,429** | **$291,700** | **$301,288** |

| **NET Income with Grant** | **$69,706** | **$184,999** | **$116,094** | **$217,593** | **$228,522** | **$229,338** |
| **NET Income without Grant** | **$69,706** | **$184,999** | **$116,094** | **$217,593** | **$228,522** | **$229,338** |

The five core doctoral seminars will be taught by core graduate faculty. All of the sessional appointments in the budget model will free up core faculty from teaching elsewhere or to add sections to the elective pool of graduate courses because of the increased number of graduate students in the Faculty of Education overall. The new graduate courses as well as the additional enrolments in the pool of graduate courses in the Faculty of Education will require five sessional hires in the first year of the program. This will rise to six in year two of the program but will decline in year three to four sessional hires because of the addition of one tenure track position in that year. The recurring sessional hires will stabilize at four per year from that point forward. There will be a requirement for a 50% graduate program assistant position for years one and two. This position will be increased to full-time in year three. The program assistant will support the application process, student progress reports in each term, the candidacy exam process, the thesis defense process, and the final submission of thesis documents. This position will assist students, faculty, and the graduate program director with the smooth operation of the program. This budget model has been developed under the assumption that the program is self-funded. Provincial funding for the degree would further increase its viability but this is not assumed in the proposal.

# 5   Quality and Other Indicators

- *Please describe the appropriateness of the collective faculty expertise to contribute substantively to the proposed program; areas of faculty strength and expertise, innovation, and scholarly record will contribute to the quality of the program and student experience*
- *Please explain how the program structure and faculty research will ensure the intellectual quality of the student experience*
- *Refer to Appendix C, and provide information on how the research experience, current projects, and funding contribute to the quality of the program*

The five core doctoral seminars that ladder students through the program stages are organized around process and not specialized subject areas. The graduate faculty members who teach these courses are skilled seminar leaders and coordinators who will orchestrate the dynamics of the online interactions. These core seminars are in many respects team taught as different faculty members and practitioners will join seminars to lend their expertise and experience. For example, writing support specialists will be included to assist with the thesis writing seminar, and a range of faculty members will be called upon to highlight their work, or to add to the dialogue depending on the mix of student interests in each course. The subject matter expertise of the graduate faculty will support student theses.

The faculty members supporting the EdD degree are productive and active. The table below summarizes the publication output for the previous years of the 34 tenured and tenure track Graduate Faculty who have full supervision responsibilities. Overall, the Graduate Faculty for the EdD have 1,222 publications over this 5-year period.

## Publication records* of EdD Graduate Faculty by year and outlet

| Year | Faculty Members | Articles | Books | Book Chapters | Reports | Conference Presentations |
|------|-----------------|----------|-------|---------------|---------|--------------------------|
| 2019 | 34 | 48 | 3 | 20 | 3 | 119 |
| 2018 | 34 | 67 | 2 | 29 | 3 | 156 |
| 2017 | 34 | 60 | 2 | 28 | 5 | 170 |
| 2016 | 34 | 51 | 2 | 20 | 5 | 179 |
| 2015 | 34 | 76 | 2 | 23 | 3 | 146 |

* The table lists discreet publications. Joint authored works with other faculty members within this faculty group are only counted once.

The next table summarizes the grant successes of Graduate Faculty. This group of 34 faculty members has obtained $8,408,318 in research funding over 2015-19 period. Although there is no funding requirement for EdD students there will be many funded opportunities in practice.

## Research funding of EdD Graduate Faculty by source and year

| Year | Faculty Members | Canadian Granting Councils | Canadian Government | International Government | Others |
|---|---|---|---|---|---|
| 2019 | 34 | $ 834,158 | $ 683,592 | - | $ 137,958 |
| 2018 | 34 | $ 810,634 | $ 552,792 | - | $ 379,906 |
| 2017 | 34 | $ 959,359 | $1,000,209 | - | $ 646,793 |
| 2016 | 34 | $ 973,767 | $ 150,000 | - | $ 124,459 |
| 2015 | 34 | $ 688,361 | $ 240,024 | - | $ 226,306 |

The EdD at Ontario Tech is embedded in a network of faculty collaborations that underlie the graduate faculty complement for the EdD at Ontario Tech. The Faculty of Education is at the centre of a network of scholars and practitioners who are actively engaged in education related research and practice.

There are five Canada Research Chairs included in the EdD proposals who have overlapping and complementary areas of expertise in support of the degree. Janette Hughes is the CRC in Technology and Pedagogy within the Faculty of Education. Dr. Hughes heads up the STEAM-3D Maker Space Lab. http://janettehughes.ca/lab/. The goals of the STEAM 3D Maker Lab include:
- Developing and evaluating constructionist "production pedagogies";
- Building students ''performative" competencies in digital literacies;
- Making for change: Promoting civic engagement and social justice;
- Facilitating the discovery, design and development (3Ds) of digital 'products' for students, teachers, parents, community;
- Building capacity for investigating and affecting change and innovation in formal and informal education settings in the use of emerging digital media and interactive tools;
- Promoting greater interest in STEM for girls and women through literacy and the arts (STEAM).

Dr. Hughes collaborates widely with other faculty members across the university and has been building synergies with other CRC chairs and their labs and networks.

Chris Collins is the CRC in Linguistic Information Visualization within the Faculty of Science and he is the director of the Visualization for Information Analysis Lab (Vialab). Dr. Collins has created tools for visualizing discourse analysis and has helped to develop educational applications that assist non-native English speakers acquire English language skills. Dr. Collins and Hughes have collaborated in the "There's an App for That" grant from the Ontario Research Fund.

Carolyn McGregor is the CRC in Health Informatics in the Faculty of Business and Information Technology. Dr. McGregor's research focusses on health informatics and she has an active interest in women in STEM.

Khalid Elgazzar is the CRC in the Internet of Things within the Faculty of Engineering and Applied Science. Dr. Elgazzar has an established interest in education and the internet of things.

Isabel Pedersen is the CRC in Digital Life, Media and Culture within the Faculty of Social Science and Humanities. Dr. Pederson is the Director of the Decimal Lab https://www.decimallab.ca. Dr. Peterson has supervised within the MA in Education at Ontario Tech University and has a broad interest in human computer interaction and wearable technology and is establishing the Digital Life Institute at Ontario Tech. The institute is as an evolution from the Digital Life Research Group https://socialscienceandhumanities.ontariotechu.ca/research/centres-and-research-groups/digital-life-research-group.php. The Digital Life Institute will use strong international partnerships and collaborations to accelerate and advance Digital Life research, explore future landscapes for Digital Life research and communicate key findings for academic communities and the public.

The CRC chairs reflect the range of interests found in the graduate faculty for the EdD overall. The expertise of the graduate faculty supports a broad range of topics focussed on educational change in the digital age including digital pedagogy, equity, STEM and STEAM education, in a range of sectors from K-12 to health to higher education. Students are admitted based on the quality of their academic preparation as well as for their fit with the areas of graduate faculty expertise. Supervisory committees will be supplemented as appropriate with strategic adjuncts connected to student's area of professional practice. EdD students at Ontario Tech will have many opportunities to engage in research and publication. In addition to the labs and activities centred on the CRC chairs there are other centres and initiatives that support the work of graduate students.

The Mental Health in the Digital Age Lab under the direction of Dr. Jennifer Laffier https://www.mhda-lab.com is a collaboration with graduate students in the Mental Health in the Digital Age course. The Mental Health in the Digital Age Lab is a research hub that explores how technology is impacting human development and well-being across the lifespan. Research and community-based projects focus on research to practice ideas for optimum well-being and learning. It is important to recognize the role of graduate students in the development and operation of this lab.

The Education Informatics Lab (EILab https://eilab.ca) under the direction of Dr. Roland van Oostveen is a research facility coexisting as both a physical and virtual space, designed for research at the intersection of education and informatics. The guiding interest is understanding and improving the human experience of using digital information and communication technologies affects education. This lab will continue to be a resource for graduate students.

There is an active interest in higher education among the graduate faculty. Dr. Brian Campbell, Dr. Bill Hunter, Dr. Catherine Drea, and Dr. Alyson King have been active in the development of a Canada-Ireland research network under the umbrella of the Centre for Higher Education, Research, Policy and Practice (CHERPP). This initiative is a

collaboration between Ontario Tech, the Technological University Dublin, and Durham College. This collaboration has resulted in 3 Higher Education in Transformation (HEIT) conferences: HEIT 2015 in Dublin, HEIT 2016 in Oshawa, and 2018 in Dublin. The next HEIT will; be hosted in Oshawa but has been deferred until May 2021 because of the COVID pandemic. Many of the EdD graduate faculty members have presented at HEIT conferences as well as graduate students from our masters' programs.

The HEIT proceedings are published online.
For HEIT 2015 see https://arrow.tudublin.ie/tu4dcon/ and HEIT 2016 see https://arrow.tudublin.ie/tuheit16/. The HEIT 2018 conference was held jointly with Universal Design Europe and some of the proceedings are published in http://ebooks.iospress.nl/volume/transforming-our-world-through-design-diversity-and-education-proceedings-of-universal-design-and-higher-education-in-transformation-congress-2018 while some of the papers are published and with Arrow at https://arrow.tudublin.ie/unides18pap/.

The Faculty of Education hosts the Teaching and Learning Wiki using the facilities provided by the EILab (https://wikis.tlc.ontariotechu.ca/wikis/EDUC5001-SEP10/index.php/Main_Page ). This wiki began in 2010 as a project to engage graduate students in writing for real audiences in Bill Hunter's Principles of Learning course. It has been added to by ensuing classes (including one at the University of Calgary) and is now considered a faculty asset, not just a course project. This change reflects the facts that the wiki is now used in other courses and each year a greater number of students find in contributing to the wiki that the information that has accumulated there over time makes it a useful resource for their work in multiple courses. Student-authored papers on their work on the wiki were a focus of a theme issue in the Canadian Journal of Action Research (https://journals.nipissingu.ca/index.php/cjar/issue/view/30 ).

There are two online journal initiatives within the faculty of Education that also will provide publication outlets for students. The Journal of Educational Informatics (JEI) https://journalofeducationalinformatics.ca/index.php/JEI/information/authors began in 2018 to focus on the design, development, and use of information technologies for teaching and learning. It was developed in anticipation of the growth of our graduate student population and the establishment of a doctoral program and its focus is the publication of graduate student research.

> JEI intends to focus attention on the work of graduate students. We seek submissions from graduate students who are currently enrolled in degree programs as well as those who have recently completed dissertations, theses or research projects. Other researchers (faculty, research staff) are welcome as part of the authoring team. In rare circumstances, papers authored solely by established researchers may be accepted.

The JEI is edited by Dr. Bill Hunter, a former editor of the Canadian Journal of Education.

We also are establishing the Journal of Digital Life and Learning
https://ojs.scholarsportal.info/uoit/index.php/dll/index. This journal is aimed at a much broader spectrum than the JEI. The JDLL will welcome student submissions but is not restricted to the work of students.

> The Journal of Digital Life and Learning is intended to be a primary resource for academics, professionals and practitioners in a wide range of fields related to the use of technology including, but not restricted to, education, learning and development, health and wellbeing, social interaction and connection, human dignity, equity, diversity and inclusion, privacy, human agency, creativity, consent, education, and appropriate legal and ethical modes of protection and guidance in these new tech-infused futures. Formal and non-formal education at all levels will be considered including early years through to higher education, college and vocational education, professional development and corporate training.
>
> JDLL publishes experimental, ethnographic, historical, philosophical, or case study approaches, critical or systematic reviews of the literature, policy perspectives, theoretical perspectives, and well-researched position papers. Only manuscripts dealing with issues focusing on digital life and learning, broadly defined, will be considered. ...

The JDLL is edited by Dr. Janette Hughes, the CRC in Technology and Pedagogy in the Faculty of Education. The breadth of the JDLL reflects the connections between the work of Dr. Hughes and the network of researchers associated with Dr. Isobel Pederson's Digital Life Institute within the Faculty of Social Science and Humanities and more broadly with the graduate faculty for the EdD.

In summary, the EdD at Ontario Tech University has a critical mass of high-quality faculty with sufficient resources to support graduate student research at the doctoral level. This group of faculty members has the research productivity, the funding, labs, research groups, and online publication vehicles to provide a rich set of opportunities for graduate students.

# APPENDICES

*Please include at minimum the below. Additional Appendices may be added, as appropriate.*

A. Calendar Copy with Program Maps)
B. List of Program Courses, New Course Proposals and Course Syllabi for Existing Courses
C. Detailed Listing of Faculty Committed to the Program
D. Library Report

## Items to be separate documents:
New Program Funding and Tuition Budget Spreadsheet

# BOARD REPORT

**ACTION REQUESTED:**

| | |
|---|---|
| **Recommendation** | ☐ |
| **Decision** | ☒ |
| **Discussion/Direction** | ☐ |
| **Information** | ☐ |

**DATE:**       June 24, 2021

**FROM:**       Academic Council

**SUBJECT:**   New Program Proposal – Graduate Diploma in Police Leadership

**MANDATE:**
In accordance with Article 1.4 of By-law No. 2, Academic Council will make recommendations to the Board on matters including the establishment or termination of degree programs.

Academic Council is seeking the Board's approval of the establishment of a Graduate Diploma in Police Leadership.

**MOTION FOR CONSIDERATION:**
*That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the establishment of a Graduate Diploma in Police Leadership, as presented.*

**BACKGROUND/CONTEXT & RATIONALE:**
In a context of a rapidly changing society, the importance of developing adaptable, innovative, and diverse police leaders has never been more urgent. In particular, police services have struggled with hiring and promoting women and minorities among their ranks. There is also a pressing concern that many senior police officers will soon retire leaving a leadership vacuum in many police services. Given this context, police services are increasingly recognizing that they are one, albeit important, organization amongst many ensuring safety and well-being in communities. It is apparent that police leaders need a more thorough understanding of their local policing context but also the broader regional, national, and global contexts in which policing occurs. The proposed graduate diploma is designed to foster problem-solving skills, critical thinking, and scholarly reflection on policing—from its English roots to recent advances in technologically-

mediated mass surveillance—in the 21st century. It is designed with a rapidly changing technological, political, social, and demographic landscape in mind.

Contemporary approaches to policing suggest that it is no longer sufficient to talk about 'policing' without attaching an adjective to denote the latest trend (e.g., intelligence-led policing, hot-spots policing, etc.). Our diploma situates itself within these recent trends but contextualizes these changes in policing within the historical and contemporary criminological literature, a 'big picture' perspective of sorts. That is, the diploma will provide police officers with a panoramic view and understanding of the evolution and the various decision-making contexts of policing and ideally help foster life-long learning.

The diploma is designed with working professionals in mind. Courses are delivered through a series of flexible asynchronous online modules where students work through the material at their own pace. The diploma is aimed at police officers already working in police services and has been developed in consultation with the Durham Regional Police Service (DRPS) and builds upon the undergraduate leadership certificate that we already offer in partnership with DRPS. Having this diploma will allow us to further develop our partnership with DRPS but also extend our program reach to new police services and potentially new research partnerships. Given that we plan to offer this diploma online, there will be no geographical limits to our recruitment. The diploma aligns with the array of courses we already offer in our Criminology MA program. We have designed the diploma so that students wishing to complete our MA in Criminology can transfer courses completed for the diploma to the MA should they be admitted to the program. Completing the diploma would leave students with only four additional courses and a major paper to complete in order to obtain our MA in Criminology.

**RESOURCES REQUIRED:**
No new faculty hires will be required for the Graduate Diploma in Police Leadership. The existing faculty members in the Criminology program would be able to teach the four courses associated with the program as overloads or as part of their regular teaching load. Faculty will be able to choose whether they prefer to take an overload or if they teach three modules, have these count toward their teaching load (3 modules = 1 course). If necessary, sessional instructors will be hired. The diploma will create some additional, although minor, administrative requirements which can be absorbed into the workload of the graduate program assistant for criminology and graduate program director for Criminology or designate. To complement the expertise of the program faculty, a diverse group of guest speakers will also be invited to participate as part of the modules. No additional student support is required.

Given that the program will be delivered exclusively online, existing technology already available to faculty will be used to deliver the courses. More specifically, faculty will utilize existing course management software and the tools provided through the Google suite.

The Graduate Diploma in Police Leadership program will not require any government funding support. No TA support will be required for the courses taught in the program.

**CONSULTATION AND APPROVAL:**
Graduate Studies Committee: April 2021

Final Faculty Council Approval: March 2021
Academic Council:  May and June 2021

## NEXT STEPS:

- Subject to the Board's approval, the proposal must proceed through the following approval steps:
    - Ontario Universities Council on Quality Assurance
- The expected date of implementation is the fall semester of 2022

## SUPPORTING REFERENCE MATERIALS:

- New Program Proposal (Appendices available upon request)

# Proposal to Offer:

# Graduate Diploma in Police Leadership
# Faculty of Social Science and Humanities

**(Prepared Date: March 2020)**
**(Proposed Program Start Date: September 2021)**

Table of Contents

1. **INTRODUCTION**

a. **Background**

In a context of a rapidly changing society, the importance of developing adaptable, innovative, and diverse police leaders has never been more urgent. Two recent reports (*Policing Canada in the 21st Century: New Policing for New Challenges* by the Council of Canadian Academies and *CACP Research Foundation Canadian Police Executive Research Agenda* by the Canadian Association of Chiefs of Police) on the future of policing in Canada emphasize the need to develop police leaders and highlight the challenges that lie ahead for police leadership. In particular, police services have struggled with hiring and promoting women and minorities among their ranks. There is also a pressing concern that many senior police officers will soon retire leaving a leadership vacuum in many police services. Overall, these reports highlight the need for police leaders to be flexible, navigate complexity, understand the evidence base of policing, and develop their police organizations' problem-solving capabilities in conjunction with other social services; police leaders are also expected to accomplish the preceding tasks while effectively communicating their messages internally and externally.

Given this context, police services are increasingly recognizing that they are one, albeit important, organization amongst many ensuring safety and well-being in communities. It is apparent that police leaders need a more thorough understanding of their local policing context but also the broader regional, national, and global contexts in which policing occurs. The proposed graduate diploma is designed to foster problem-solving skills, critical thinking, and scholarly reflection on policing—from its English roots to recent advances in technologically-mediated mass surveillance—in the 21st century. It is designed with a rapidly changing technological, political, social, and demographic landscape in mind. Contemporary approaches to policing suggest that it is no longer sufficient to talk about 'policing' without attaching an adjective to denote the latest trend (e.g., intelligence-led policing, hot-spots policing, etc.). Our diploma situates itself within these recent trends but contextualizes these changes in policing within the historical and contemporary criminological literature, a 'big picture' perspective of sorts. That is, the diploma will provide police officers with a panoramic view and understanding of the evolution and the various decision-making contexts of policing and ideally help foster life-long learning. Police officers will learn about the emerging trends, social science research methodologies, and outside influences that impact their profession; and will be provided with the skills to navigate, understand, and adapt to the complex nature of contemporary policing. This diploma aims to train future police leaders to see their everyday praxis as objects of critical reflection.

In order to accomplish this objective, the diploma is designed with working professionals in mind. Courses are delivered through a series of flexible asynchronous online modules where students work through the material at their own pace. The diploma is aimed at police officers already working in police services and has been developed in consultation with the Durham Regional Police Service (DRPS) and builds upon the undergraduate leadership certificate that we already offer in partnership with DRPS. Having this diploma will allow us to further develop our partnership with DRPS but also extend our program reach to new police services and potentially new research partnerships. Given that we plan to offer this diploma online, there will be no geographical limits to our recruitment. The diploma aligns with the array of courses we already offer in our Criminology MA program. We have designed the diploma so that students wishing to complete our MA in Criminology can transfer courses completed for the diploma to the MA should they be admitted to the program. Completing the diploma would leave students with only four additional courses and a major paper to complete in order to obtain our MA in Criminology.

### b. Alignment with Vision, Mission, and Strategic Plan

The Graduate Diploma in Police Leadership is consistent with Ontario Tech's and FSSH's vision and mission in several ways. First, given that the diploma will be delivered online, it will provide graduate students with a technology-enriched dynamic learning experience. This aligns with the Faculty's goal of increasing our online course offerings. Second, the diploma meets the needs of the evolving workplace and is designed to foster life-long learning and critical thinking about policing and the role police officers play within the larger societal context. The diploma meets the exigent needs of police services in the GTA, province, Canada, and internationally. Police services are in the midst of demographic, technological, and strategic changes, and are looking for effective leaders to serve in their organizations. Third, the diploma encourages academic and research collaborations with police services. By situating police leadership education in the Durham region, Ontario Tech is building effective and sustainable partnerships with community organizations and future leaders of those organizations. Those connections will enable FSSH to establish a strong and influential presence in the Canadian landscape in criminology, and police studies in particular. The establishment of these relationships will help enable FSSH to become a hub of activity related to police leadership and continuing police education—a centralized repository for police research and innovation in a Canadian context. Therefore, the diploma program's objectives are consistent with Ontario Tech's and FSSH's vision and mission.

The Graduate Diploma in Police Leadership is consistent with Ontario Tech's and FSSH's strategic plans in the following ways. First, the diploma helps to build effective and sustainable partnerships with our collaborators in Ontario, Canada, and internationally. In particular, by consulting with DRPS, the diploma helps facilitate and enhance relationships with community-based agencies and organizations within Durham Region and Northumberland County. Second, the diploma provides career-focused training for police officers and aims to educate and prepare them to enrich local and global communities through professional contributions and community service, ideally improving the lives of the citizens they police. Third, one of the strategic long-term goals of FSSH includes establishing a strong and influential research presence in the Canadian landscape in all of our disciplines. Through scholarship, teaching and public service, FSSH creates and mobilizes knowledge addressing complex problems in society, criminal justice systems, digital and media communication, governance, and other themes essential for understanding the contemporary human condition. The Faculty aspires to conduct high quality, high impact research on pressing social problems, and to disseminate this research for use in practice, policy, and scholarship. FSSH plans to become a hub of activity with several thematic research centres, endowed and United Nations-related research chairs, a thriving Social Research Centre serving clients across Canada, and a National Centre of Excellence. The graduates of the Police Leadership Program will serve as critical resources from which we will further advance research collaborations as well as social networks throughout the region, the province, Canada, and across the globe. To advance a National Centre of Excellence, FSSH will need a robust alumni base to establish and support partnerships in justice-related research and other public safety initiatives. Therefore, the diploma program's objectives are consistent with Ontario Tech's and FSSH's strategic plans and goals.

### c. Student Demand

The intended applicant pool for this program draws from two sources. The first intended applicants are active duty police officers who might be thinking about assuming different roles within their organizations or those who might be interested in advancing in their organizations. The completion of the Graduate Diploma in Police Leadership represents tangible evidence of self-initiated professional development. The second intended applicants are active duty police officers who have already assumed leadership positions within their police organizations, and are mandated to

complete advanced educational training to serve in their supervisory roles. The completion of the Graduate Diploma Program in Police Leadership would represent an agency-initiated professional development for continued growth and maturation within their organizations. The online design of our program allows for police officers to continue to work full-time while completing their studies. Also, not being limited geographically opens up recruitment possibilities beyond Durham region and Canada. In Canada alone, there are close to 70,000 police officers of which approximately 30% hold an undergraduate degree. Less than 2% of police officers hold a Masters or PhD. Newer police recruits tend to be more highly educated than their predecessors which means a potentially larger population from which to recruit students. Further, our discussions with DRPS have suggested that there would be a substantial demand for a diploma such as ours in the policing field.

Table 1.  Projected enrolment by year of operation and program year.

| ACADEMIC YEAR OF OPERATION | NEW ENROLLMENTS BY YEAR |
|---|---|
| 2021/22 | 5 |
| 2022/23 | 10 |
| 2023/24 | 15 |
| 2024/25 | 20 |
| 2025/26 | 20 |

As courses and modules do not need to be taken sequentially, admissions will occur three times a year. Class/module size will be limited to 20 students.

### d.  Societal Need

There are several trends that indicate that graduate certificate programs and advanced degrees are warranted in the criminal justice field, particularly in police studies. First, the educational requirements for police constables are moving to include some undergraduate education. The requirements for police constables to possess an undergraduate degree will likely become mandatory in the future. Second, graduate degrees are necessary for promotion and advancement in law enforcement agencies. This educational requirement has been in place in the U.S. for more than a decade. Some European countries already require Master's degrees for supervisory positions and doctoral degrees for command-level positions. Canadian law enforcement agencies will likely move toward that direction as well. Finally, police organizations in the region and the province are already looking to universities to establish partnerships in order to support emerging police leaders and police executives. Thus, societal trends support the need for a police leadership program.

### e.  Duplication

Courses and programs related to leadership tend to exist in business and continuing education departments. Some of the programs that are comparable to the one being proposed is the Police Leadership Program at the University of Toronto's Rotman School of Management. In addition, the Canadian Police College offers two programs for police executives that are entitled 'Senior Police Administration Course' (SPAC) and 'Executive Development in Policing' (EDP). There is also a Certificate in Police Leadership offered at Dalhousie University, a Senior Police Leadership Postgraduate Certificate offered by Trent University, and a Management Development for Police Services offered at the University of Alberta. These programs tend to be structured around the 'how to' of police leadership and focused on management and organizational leadership rather than the social science literature on policing—the "big picture" view of policing in society. These programs are also not taught at a graduate level or within Criminology programs and many are

delivered face-to-face. Our proposed program differs from existing ones in the preceding three aspects.

1. The proposed diploma program is unique because it is intended and structured primarily as an academic one.
2. The program is designed to foster critical thinking and scholarly reflection at the executive level in light of the emerging patterns in policing and crime, in a world that is changing technologically, politically, socially, and demographically.
3. The proposed courses are designed to expose current and future police leaders to contemporary scholarship on evidence-based policing, organizational leadership, equity and inclusion, and historical and emerging patterns in policing while inculcating scholarly values and analytical skills to be able to lead their police organizations into the twenty-first century and beyond.

| Institution: University of Toronto, Rotman School of Management |
|---|
| Program Name and Credential: Executive Program in Police Leadership |
| Program Description: The Police Leadership Program (PLP) is a collaboration between the Ontario Association of Chiefs of Police (OACP) and the University of Toronto's Rotman School of Management.<br><br>This unique, three-week intensive experience focuses on the key facets of leadership and provides participants with the opportunity to challenge themselves in a dynamic learning environment. The program is facilitated by Rotman faculty who are at the forefront of thought leadership and practice. In addition, participants are exposed to prominent guest speakers from law enforcement and the corporate world. The program is anchored around relevant content and activities such as the in-class projects which are designed to address real time policing issues. The program also features many opportunities for networking, engagement with faculty and other experts in the field of policing.<br><br>The PLP is designed and delivered to strengthen and promote effective leadership practice of senior police officers. The competencies addressed by the program ensure that participants are equipped with the necessary skills and tools to think differently, make better decisions, be better negotiators, communicate more effectively, act with integrity and political astuteness, understand the implications of financial decisions, manage and lead change and contribute to the overall health of the organization.<br><br>The program is constantly reviewed and refreshed through input from the PLP Steering Committee made up of faculty, members of the OACP and several Chiefs of Police.<br><br>The program is delivered using appropriate adult learning strategies, such as peer-based learning, simulations, role-playing, team assignments, project-based learning and in-class instruction. |
| Similarities and Differences: The Rotman program is designed as a 'how to' for police leaders. Alternatively, our diploma program focuses on 'big picture' policing issues and is aimed at graduate level students. We aim to teach future police leaders to think about the practice of policing as an object of critical reflection and inquiry as a self-governed and academically-motivated endeavour. The Rotman program is also delivered face-to-face whereas our diploma program is designed to be taken online. The Rotman program is set within the Management program whereas ours is set within the Criminology program. |

|  |
| --- |
| Links: http://www.rotman.utoronto.ca/ProfessionalDevelopment/Executive-Programs/Programs-Individuals/Police-Leadership |

| |
| --- |
| Institution: University of Alberta, Continuing and Professional Education |
| Program Name and Credential: Management Development for Police Services Certificate |
| Program Description: Designed in partnership with the Edmonton Police Service (EPS), the University of Alberta Management Development Certificate for Police Services provides comprehensive and relevant management development education to participants currently involved in the field of law enforcement. <br><br> Meeting the emerging needs of Law Enforcement, the program provides a comprehensive management development education with a variety of electives to allow participants to focus on areas of interest or need. Courses within this program cover leadership fundamentals, human resource management, financial management, strategic decision-making, and business communication. Our graduates are well equipped for leadership positions and can be relied upon for strong decision-making and leadership skills within the police service. |
| Similarities and Differences: The University of Alberta program is designed as a 'how to' for police leaders. Alternatively, our diploma program focuses on 'big picture' policing issues and is aimed at graduate level students. We aim to teach future police leaders to think about the practice of policing as an object of critical reflection and inquiry as a self-governed and academically-motivated endeavour. The University of Alberta program is also delivered face-to-face whereas our diploma program is designed to be taken online. The University of Alberta program is set within the Continuing Education program whereas ours is set within the Criminology program. |
| Links: https://www.ualberta.ca/extension/continuing-education/programs/business-and-leadership/management-development-eps |

| |
| --- |
| Institution: Trent University, Policing and Community Wellbeing |
| Program Name and Credential: Senior Police Leadership – Postgraduate Certificate |
| Program Description: A unique professional program for practicing police leaders, both sworn and civilian, at the sergeant level or above, offered exclusively at Trent University Durham GTA |

Successful leaders in the highest ranks of today's police services require a unique set of skills: strategic vision and planning, political prowess, team building and motivation, media expertise, budgeting, and an understanding of complex community needs. These types of skills and training cannot be attained through career assignments alone – today's police leaders need a new senior police leadership curriculum.

Enter the new Postgraduate Certificate in Senior Police Leadership at Trent University Durham GTA.

Unlike other leadership programs, this certificate is designed specifically to train and provide police leaders with the wide range of competencies needed to excel within senior positions in the policing environment. Graduates of the program will possess an understanding of the complex accountability, legal, and governance frameworks of police services and police services boards.

Similarities and Differences: The Trent program is designed as a 'how to' for police leaders. Alternatively, our diploma program focuses on 'big picture' policing issues and is aimed at graduate level students. We aim to teach future police leaders to think about the practice of policing as an object of critical reflection and inquiry as a self-governed and academically-motivated endeavour. The Trent program is also delivered face-to-face whereas our diploma program is designed to be taken online. The Trent program is set within the Policing and Community Wellbeing program whereas ours is set within the Criminology program.

Links: https://www.trentu.ca/durham/academics/degrees-and-programs/policing-community-well-being-ba/senior-police-leadership

Institution: Dalhousie University, College of Continuing Education

Program Name and Credential: Police Leadership Certificate

Program Description: The demanding schedule of police work can make professional development difficult. But to stay on top of your fast-moving profession—and ready yourself for the next step in your career—you need to build your skillset and strategic perspectives.

That's why our online police leadership certificates are flexible and offer you the ability to study around your schedule. Only three courses are required to complete your first certificate, putting a respected university credential well within your reach.

Our courses are designed to build on your police training, education and experience. You'll study with law enforcement professionals from across Canada and learn from experts who will ensure you gain relevant skills that can immediately be put to work.

Similarities and Differences: The Dalhousie program is designed as a 'how to' for police leaders. Alternatively, our diploma program focuses on 'big picture' policing issues and is aimed at graduate level students. We aim to teach future police leaders to think about

the practice of policing as an object of critical reflection and inquiry as a self-governed and academically-motivated endeavour. The Dalhousie program is set within the College of Continuing Education program whereas ours is set within the Criminology program. Both the Dalhousie program and our diploma program are designed to be taken online but Dalhousie's program is aimed at police at any education level whereas ours is aimed at those who have already completed an undergraduate degree.

Links: https://www.dal.ca/faculty/cce/programs/police-leadership.html

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Institution: Canadian Police College

Program Name and Credential: 1) Executive Development in Policing Program

2) Senior Police Administration Course

Program Description: 1) This program is for aspiring executive leaders in law enforcement. It is comprised of four courses offered over a one year period and challenges participants to expand their executive level strategic leadership knowledge, skills, and abilities. The focus is on self-reflection, strategic thinking and building individual, team and organizational competencies to address the unique challenges facing law enforcement. Students have the unique opportunity to network with senior ranked law enforcement executives in Canada and internationally.

2) This course is for individuals working in law enforcement who have had some supervisory experience and who are ready to accept the leadership challenges of more senior or complex managerial roles. Students learn how to improve and adapt their personal management and leadership skills to meet changing social conditions. Topics covered include leadership and management concepts, leading high performance teams, issue analysis and problem solving, business case development, ethics, conflict resolution, and accountability.

Similarities and Differences: The CPC program is designed as a 'how to' for police leaders. We aim to teach future police leaders to think about the practice of policing as an object of critical reflection and inquiry as a self-governed and academically-motivated endeavour. Alternatively, our diploma program focuses on 'big picture' policing issues and is aimed at graduate level students. The CPC program is also delivered face-to-face and online whereas our diploma program is designed to be taken entirely online. The CPC program is set within the Canadian Police College program whereas ours is set within the Criminology program.

Links: http://www.cpc.gc.ca/programs-programmes/leadership/edp-pcsp-eng.htm

http://www.cpc.gc.ca/programs-programmes/leadership/spac-caps-eng.htm

## 2. DEGREE REQUIREMENTS

### a. Program Learning Outcomes

| Program Learning Outcomes By the end of the program, students graduating will be able to… | Degree (Diploma) Level Expectations (list all that apply; you must align with each expectation at least once) | Relevant courses (provide course code and course title) | Assessment of Learning Outcomes (e.g. test, rubric, self-assessment, etc.) |
|---|---|---|---|
| • Explain the historical origins of policing as a social institution, its development throughout earlier periods, and its emerging contexts in contemporary times | • Depth and breadth of knowledge<br>• Awareness of limits of knowledge<br>• Research and scholarship | • SSCI 5410G: Leading and Implementing Transformation in Policing<br>• SSCI 5400G: Special Topics in Criminology (Equity and Inclusion in Policing)<br>• SSCI 5430G: Historic and Emerging Patterns in Policing<br>• SSCI 5420G: Evidence-Based Policing | • Knowledge-based tests/quizzes/ response essays<br>• Research papers<br>• Argumentative essays<br>• Research proposals<br>• Class discussions/ presentations<br>• Community engagement projects<br>• Virtual tools (e.g., skills simulators) |
| • Describe and evaluate policing techniques, research, and challenges in order to problem-solve complex policing issues | • Research and scholarship<br>• Level of application of knowledge<br>• Awareness of limits of knowledge | • SSCI 5410G: Leading and Implementing Transformation in Policing<br>• SSCI 5400G: Special Topics in Criminology (Equity and Inclusion in Policing)<br>• SSCI 5430G: Historic and Emerging Patterns in Policing<br>• SSCI 5420G: Evidence-Based Policing | • Knowledge-based tests/quizzes/ response essays<br>• Research papers<br>• Argumentative essays<br>• Research proposals<br>• Class discussions/ presentations<br>• Community engagement projects<br>• Virtual tools (e.g., skills simulators) |

| | | | |
|---|---|---|---|
| • Participate in collegial, evidence-based discussions about controversial policing issues with peers, community partners, and the public | • Professional capacity/autonomy<br>• Level of application of knowledge<br>• Level of communications skills | • SSCI 5410G: Leading and Implementing Transformation in Policing<br>• SSCI 5400G: Special Topics in Criminology (Equity and Inclusion in Policing)<br>• SSCI 5430G: Historic and Emerging Patterns in Policing<br>• SSCI 5420G: Evidence-Based Policing | • Knowledge-based tests/quizzes/ response essays<br>• Research papers<br>• Argumentative essays<br>• Research proposals<br>• Class discussions/ presentations<br>• Community engagement projects<br>• Virtual tools (e.g., skills simulators) |
| • Formulate and execute evidence-based strategies for change in order to improve the functioning of policing organizations | • Level of communications skills<br>• Depth and breadth of knowledge<br>• Level of application of knowledge | • SSCI 5410G: Leading and Implementing Transformation in Policing<br>• SSCI 5400G: Special Topics in Criminology (Equity and Inclusion in Policing)<br>• SSCI 5430G: Historic and Emerging Patterns in Policing<br>• SSCI 5420G: Evidence-Based Policing | • Knowledge-based tests/quizzes/ response essays<br>• Research papers<br>• Argumentative essays<br>• Research proposals<br>• Class discussions/ presentations<br>• Community engagement projects<br>• Virtual tools (e.g., skills simulators) |

Student learning will be assessed through a variety of methods. As presented in the above table in conjunction with program learning outcomes, these broadly include knowledge-based tests/quizzes/response essays, research papers, argumentative essays, research proposals, and class discussions/presentations, community engagement projects, and virtual tools. More specifically, assessment of student work will entail critical reflections on policing issues, written and oral assignments, and tests of knowledge acquisition. The course management system used to engage students will be Canvas. As Canvas is the new course management system replacing Blackboard at Ontario Tech in the fall 2020 semester, all faculty will have access to training on how to utilize the management software. While we have not yet received access to Canvas, the

platform appears to offer comprehensive ways to engage and communicate with students as well as track and facilitate student progress toward accomplishing learning outcomes.

In order to ensure that those teaching in the program are meeting the program learning outcomes, we will assemble a sub-committee of the Criminology Graduate Committee, chaired by the Graduate Program Director (or delegate), to collaboratively discuss and provide feedback on proposed syllabi and to ensure that each of the courses meet the program learning outcomes outlined in the above table. Members of this sub-committee would normally be faculty teaching in the program. Normally, admissions to the program would be handled by the same sub-committee. This plan is an outlook for the next seven years of the program (until the scheduled review) but faculty are aware that an ongoing evaluation of the program should be undertaken to establish consistency with the degree level expectations. After the first year of the program being implemented, it will be internally assessed by the institution's Academic Resource Committee and, if needed, recommendations will be made to enhance program effectiveness and student success. This plan will also provide a visual roadmap for faculty onboarding by allowing faculty members to see where their courses align with the overall vision for graduates through the attainment of the program learning outcomes. Effectiveness of the program will be assessed through course evaluations and scheduled program reviews when required by the Faculty.

### b. Admission Requirements

The diploma is aimed at officers who are currently employed at a police service. We approach leadership as something that is required at various levels throughout a policing organization. Therefore, officers thinking about assuming more of a leadership role within their organization and those who already have assumed a leadership position would benefit from taking our diploma. Key admission requirements are:

- Hold an undergraduate degree, from a Canadian university, or its equivalent from a recognized institution. Normally, applicants are expected to have graduated with a social science degree that has provided them with a sound understanding of social science methodologies and a basic understanding of criminological theories. Students without a social science related degree are encouraged to apply but should reach out to the Graduate Program Director to discuss their specific circumstances before applying.
- Have a minimum academic standing in their undergraduate degree of a B- (GPA: 2.7 on a 4.3 scale or 70 to 72 per cent) or obtain the permission of the Graduate Program Director.
- Applicants not meeting the minimum academic requirements or those without an undergraduate degree will be granted admission to the diploma on a case-by-case basis following Ontario Tech's non-standard applicant process.

### c. Program Structure – Program Maps

The parent program for this graduate diploma will be the Master of Arts in Criminology.  The program will entail delivering four (three credit) courses through a series of modules as  follows. Each course contains three modules equivalent to one credit.

1) ***Historic and Emerging Patterns in Policing*** (***SSCI 5430G)***: This course examines the emergence of police as a social institution, focusing on its role and function as well as the social, political, economic, and cultural factors that compelled them into existence. The majority of the course is spent examining the various types of policing that have emerged in recent years. It will also examine how colonialism, discrimination, and racism have impacted the development and patterns of policing. The course will also provide an overview and history of First Nations policing in

Canada. The focus here is on the theories and evidence used to support the emerging patterns in policing as they relate to reducing harm in communities. The course is broken into the following modules: 1) The Origins and Evolution of Policing; 2) Police Reform and the Proliferation of Policing Strategies; 3) Contemporary Technological and Data Driven Policing.

2) *Equity and Inclusion in Policing (SSCI 5400G)*: This course focuses on how policing is experienced by diverse types of people and officers. The course examines how police have responded to claims of bias in policing and the effectiveness of these responses. Intercultural understanding, equity, respect and reconciliation within the police service itself will be explored. The course will also examine how police organizations can foster and sustain inclusive police services to protect and serve all communities, including Black, Indigenous and People of Color (BIPOC) communities. The course is broken into the following modules: 1) Procedural Justice and Police Legitimacy; 2) Equity and Inclusion in the Community; 3) Equity and Inclusion within Police Services.

3) *Leading and Implementing Transformation in Police Organizations (SSCI 5410G)*: This course discusses police leadership from an organizational standpoint. The focus here is on overcoming challenges and implementing changes that can move police organizations forward and to prepare police organizations to adapt to uncertain futures, changing demographic landscapes, evolving skillsets such as mediation skills and transformational leadership styles, and a new generation of police officers. The course is broken into the following modules: 1) Police Organizational Culture; 2) Leading and Transforming Police Organizations; 3) The Future of Police.

4) *Evidence-Based Policing (SSCI 5420G)*: This course provides an in-depth examination of evidence-based policing. The focus here is on providing police officers with an understanding of research methods and data analysis techniques pertaining to policing. The goal is to provide a basic understanding of research so that strategic decisions can be made based on the strength of research evidence. Police officers will not be conducting research or performing statistical tests but rather developing an understanding of what counts as 'good' research. The course is broken into the following modules: 1) What is Evidence-Based Policing?; 2) Good and Bad Research; 3) Emerging Research Trends Shaping Policing.

Appendix A contains sample course outlines for each of the above listed courses with each module broken out into more detail.

The proposed Graduate Diploma in Police Leadership will be taken part-time and the proposed program map is attached as 'Appendix C: Tentative Program Schedule'.
Students will not be required to take modules in any particular order which allows them to enter the program at any time or to take only modules of interest rather than the entire Graduate Diploma.

**Transfer to and Map of MA Criminology Program**

Students will be allowed to transfer all of the four credits they earn as part of the Graduate Diploma in Police Leadership toward the completion of our MA in Criminology. The chart below outlines how each Graduate Diploma course maps onto our existing MA program. Entry to our MA Criminology program is competitive and not automatic. Students must meet the existing MA Criminology entrance requirements. Currently, our MA is not online but if the Graduate Diploma is successful, we will consider creating an online version of our MA for working professionals.

| Graduate Diploma in Police Leadership | MA Major Paper Option | MA Thesis Option |
|---|---|---|
| | SSCI 5010G: Data Analysis 1 | SSCI 5010G: Data Analysis 1 |
| | SSCI 5060G: Advanced Methods in Qualitative Research | SSCI 5060G: Advanced Methods in Qualitative Research |
| | SSCI 5020G : Criminological Theory | SSCI 5020G : Criminological Theory |
| **SSCI 5410G Leading and Implementing Transformation in Policing** | **SSCI 5050G Professional Seminar** | **SSCI 5050G Professional Seminar** |
| | SSCI 5100G: Graduate Seminar on Contemporary Issues in Criminology | SSCI 5100G: Graduate Seminar on Contemporary Issues in Criminology |
| **SSCI 5400G Equity and Inclusion in Policing** | **SSCI 5200G Graduate Seminar in Inequality and Crime OR SSCI 5300G Cybercrime and Criminology OR SSCI 5400G – Special Topics in Criminology** | **SSCI 5200G Graduate Seminar in Inequality and Crime OR SSCI 5300G Cybercrime and Criminology OR SSCI 5400G – Special Topics in Criminology** |
| **SSCI 5420G Evidence-Based Policing** **SSCI 5430G Historic and Emerging Patterns in Policing** | **Reading and/or elective courses #1** **Reading and/or elective courses #2** | SSCI 5002G MA Thesis in Criminology |
| | SSCI 5001G Major Paper in Criminology (6 cr) | |
| **Total=12 credits** | **Total=30 credits** | **Total=30 credits** |

d. **Calendar Copy**

# Program

## Graduate faculty

Joseph Eastwood, BA, MSc, PhD
Robert Elkington, BTh, MTh, PhD
Amir Mostaghim, BA, MA, PhD
Christopher O'Connor, BA, MA, PhD
Barbara Perry, BA, MA, PhD
Phillip Shon, BA, MA, MA, PhD
James Walsh, BA, MA, PhD

## Program information

The Graduate Diploma in Police Leadership program provides working police officers with an opportunity to upgrade their credentials by taking graduate level courses within our

Criminology program. The diploma is aimed at officers who are currently employed at a police service. We approach leadership as something that is required at various levels throughout a policing organization. Therefore, officers thinking about assuming more of a leadership role within their organization and those who already have assumed a leadership position would benefit from taking our diploma. The graduate diploma is designed to foster problem-solving skills, critical thinking, and scholarly reflection on policing in the 21st century. The diploma takes a 'big picture' perspective on policing and is designed with a rapidly changing technological, political, social, and demographic landscape in mind. Students complete four courses which include Leading and Implementing Transformation in Policing, Equity and Inclusion in Policing, Historic and Emerging Patterns in Policing, and Evidence-Based Policing. Police officers completing the diploma will learn about the emerging trends, research, and outside influences impacting their profession and will be provided with the skills to navigate, understand, and adapt to the complex nature of contemporary policing. To allow for maximum student flexibility, courses are delivered entirely online through a series of modules.

## Admission requirements

In addition to the general admission requirements for graduate studies, Graduate Diploma in Police Leadership applicants must meet the following program-specific requirements.

- Hold an undergraduate degree, from a Canadian university, or its equivalent from a recognized institution. Normally, applicants are expected to have graduated with a social science degree that has provided them with a sound understanding of social science methodologies and a basic understanding of criminological theories.Students without a social science related degree are encouraged to apply but should reach out to the Graduate Program Director to discuss their specific circumstances before applying.

- Have a minimum academic standing in their undergraduate degree of a B- (GPA: 2.7 on a 4.3 scale or 70 to 72 per cent) or obtain the permission of the Graduate Program Director.

- Applicants not meeting the minimum academic requirements or those without an undergraduate degree will be granted admission to the diploma on a case-by-case basis following Ontario Tech's non-standard applicant process.

Applicants are required to submit a portfolio consisting of the following documentation:

- A curriculum vitae including the applicant's education, employment, teaching and research experience, and publications (if any).
- A sample of scholarly writing.
- A letter confirming current employment at a police service.

## Part-time studies

The Graduate Diploma in Police Leadership is only administered on a part-time basis.

**Degree requirements**

All Graduate Diploma in Police Leadership students must successfully complete four graduate courses. A minimum passing grade of B- is required for each course.

**Course listing**

Each of the below required courses are delivered through a series of modules as follows:

• SSCI 5410G: Leading and Implementing Transformation in Policing
   1. Police Organizational Culture
   2. Leading and Transforming Police Organizations
   3. The Future of Police
• SSCI 5400G: Special Topics in Criminology (Equity and Inclusion in Policing)
   1. Procedural Justice and Police Legitimacy
   2. Equity and Inclusion in the Community
   3. Equity and Inclusion within Police Services
• SSCI 5430G: Historic and Emerging Patterns in Policing
   1. The Origins and Evolution of Policing
   2. Police Reform and the Proliferation of Policing Strategies
   3. Contemporary Technological and Data Driven Policing
• SSCI 5420G: Evidence-Based Policing
   1. What is Evidence-Based Policing?
   2. Good and Bad Research
   3. Emerging Research Trends Shaping Policing


Each module is delivered independently of the other modules and courses. Therefore, students can complete the modules in any order at their own pace. Each course is transferrable to our MA Criminology degree. However, entry to our MA Criminology program is competitive and not automatic. Students must meet the existing MA Criminology entrance requirements and acceptance is not guaranteed.


   3. **RESOURCE REQUIREMENTS**

   a. **Faculty Members, Current and New Faculty requirements**

No new faculty hires will be required for the Graduate Diploma in Police Leadership. The existing core faculty members in the Criminology program would be able to teach the four courses associated with the program as overloads or as part of their workload. Some qualified sessional

instructors may be hired as necessary but this will be limited. Faculty teaching in the program must have at a minimum associate graduate status in the program.

In order to encourage current faculty to develop these online courses, the following will be provided to those willing to teach in the program:

- Faculty will be allowed to teach a course or module they develop five times before a new faculty member will be requested to teach the course. Currently, criminology allows faculty to teach a non-elective course twice before soliciting others to teach the course.
- Faculty teaching within the online program will still be allowed to teach a class in the face-to-face criminology graduate program. Currently, criminology allows faculty to teach only one graduate course per academic year.
- Faculty can decide whether they would like to teach the course as part of their regular teaching load or as overload.

*Faculty members by rank, home unit, and supervisory privileges.*

| NAME | RANK | HOME UNIT | SUPERVISORY PRIVILEGES |
|---|---|---|---|
| Joseph Eastwood | Associate Professor | Forensic Psychology, FSSH | Associate |
| Robert Elkington | Adjunct Professor | Criminology, FSSH | Associate |
| Amir Mostaghim | Associate Teaching Professor | Criminology, FSSH | Associate |
| Christopher O'Connor | Assistant Professor | Criminology, FSSH | Full |
| Barbara Perry | Professor | Criminology, FSSH | Full |
| Phillip Shon | Professor | Criminology, FSSH | Full |
| James Walsh | Assistant Professor | Criminology, FSSH | Full |

*Course instructor expertise*

| NAME | AREA EXPERTISE | ABILITY TO TEACH THE FOLLOWING MODULES |
|---|---|---|
| Joseph Eastwood | Comprehension of Police Cautions, Comprehension of Youth Waiver Forms, Generation and Assessment of Alibis, Investigative Interviewing, Wrongful Convictions | • What is Evidence-Based Policing?<br>• Good and Bad Police Research<br>• Emerging Research Trends Shaping Policing |
| Robert Elkington | Educational Leadership, Police Leadership, Technology, Leadership Development | • Police Organizational Culture<br>• Leading and Transforming Police Organizations<br>• The Future of Police |
| Amir Mostaghim | Post-modern Theory, Drugs, Youth Subculture, Gender, Race, Identity development, Police and Society, Consumption | • All modules |
| Christopher O'Connor | Police Technology Use, Attitudes Toward Police, Police Interactions with the Public and Investigations | • All modules |
| Barbara Perry | Policing hate crime, Policing Indigenous communities | • Procedural Justice and Police Legitimacy<br>• Equity and Inclusion in the Community<br>• Equity and Inclusion within Police |

| | | Services |
|---|---|---|
| Phillip Shon | Parricide/Intrafamily Homicide, Police Behavior/Police-Citizen Encounters, Sociology of Language/Language and Law | • The Origins and Evolution of Policing<br>• Police Reform and the Proliferation of Policing Strategies<br>• Contemporary Technological and Data Driven Policing |
| James Walsh | Surveillance, Security, and Social Control; Borders, Mobility and Migration; Policing; Law and Society; Crime and Justice; Global and International Studies; Political Sociology; Crime and Media; Terrorism | • The Origins and Evolution of Policing<br>• Police Reform and the Proliferation of Policing Strategies<br>• Contemporary Technological and Data Driven Policing<br>• Procedural Justice and Police Legitimacy |

Please note that there is no supervision of student major papers or theses required in the program. Each of the faculty members listed above have published and/or taught classes in policing.

### b. Additional Academic and Non-academic Human Resources

No new faculty hires will be required for the Graduate Diploma in Police Leadership. The existing faculty members in the Criminology program would be able to teach the four courses associated with the program as overloads or as part of their regular teaching load. Faculty will be able to choose whether they prefer to take an overload or if they teach three modules, have these count toward their teaching load (3 modules = 1 course). If necessary, sessional instructors will be hired. The diploma will create some additional, although minor, administrative requirements which can be absorbed into the workload of the graduate program assistant for criminology and graduate program director for Criminology or designate.

### c. Guest Speakers

To complement the expertise of the program faculty, a diverse group of guest speakers will also be invited to participate as part of the modules. The goal of including guest speakers is to make space for varied perspectives and to privilege the voices of the communities served by the police. It will also provide an opportunity to hear about the lived experiences of those impacted by the law and fortify the themes discussed in the modules. This component of the program can also help build understanding, trust, and mutual respect between police leadership and the communities they serve. Invited speakers could include, but not be limited to, Indigenous police leaders, Black Canadian police leaders, community organizers, and mental health professionals.

Speakers will be invited to join as virtual guest speakers and each speaker will be given an opportunity to discuss and highlight a set of topics or themes in short 15-30 minute videos. These pre-recorded videos will be available to watch as part of specific modules. The guest speaker contributions can also help to develop community engagement projects in certain modules.

All guest speakers will be provided compensation for their time through an honorarium. Additionally, care will be given to follow proper protocol and behaviours when inviting each guest

speaker. For example, we will work with staff from the Indigenous Education and Cultural Services to understand the invitation protocols for inviting Indigenous leaders and community members.

### d. Student Support Requirements

No additional student support is required. Students will have the same supports all other students are entitled to in our Criminology program. This includes access to the Graduate Program Assistant and Graduate Program Director for guidance on program trajectory, enrollment, and policies. Students also have access to the Library and student support services (e.g., accessibility services).

### e. Physical Resource Requirements

Given that the program will be delivered exclusively online, existing technology already available to faculty will be used to deliver the courses. More specifically, faculty will utilize existing course management software and the tools provided through the Google suite.

### 4. BUSINESS PLAN

### a. Statement of Funding Requirement

The Graduate Diploma in Police Leadership program will not require any government funding support. No TA support will be required for the courses taught in the program. Please see Appendix D for budget breakdown.

### 5. APPENDICES

A. New Course Proposals and Sample Course Outlines
B. Library Report
C. Tentative Program Schedule
D. Budget

**BOARD REPORT**

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| Public | ☒ | Decision | ☒ |
| | | Discussion/Direction | ☐ |
| | | Information | ☐ |

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

**TO:**      Board of Governors

**DATE:**      May 31, 2021

**FROM:**      Academic Council

**SLT LEAD:**      Les Jacobs, Vice-President, Research and Innovation

**SUBJECT:**      Establishment of the Institute for Disability and Rehabilitation Research (IDRR)

**COMMITTEE/BOARD MANDATE:**
In accordance with Article 1.4(b) of By-law No. 2 and the Procedures for the Creation of Research Entities, Academic Council makes recommendations to the Board on matters including the establishment of research centres.

Academic Council is seeking the Board's approval of the establishment of an Institute for Disability and Rehabilitation Research (IDRR).

**BACKGROUND/CONTEXT & RATIONALE:**
Disability is an ever-present, never fully preventable, characteristic of communities around the world. According to the World Health Organization, approximately 15% of the global population lives with disability in some form. This minority is vastly diverse, encompassing physical, developmental, learning, and psychiatric conditions. Across this wide range of embodied differences, people with disabilities share in common needs related to health care support and accommodations in the community, and histories of discriminatory treatment. According to the Global Burden of Disease Study, the three main causes of disability throughout the world are low back pain, headache disorders and depressive disorders.

The changing demographics have led to a sharp rise in the number of people experiencing disability, or deteriorations in functioning. These changes emphasize more than ever the need for effective, accessible and equitable rehabilitation services. Rehabilitation is a set of interventions needed when a person experiences limitations in everyday physical, mental, and social functioning due to ageing or a health condition, including chronic diseases or disorders, injuries, or trauma. Globally in 2019, 2.4 billion individuals needed rehabilitation, with low back and neck pain being the main reasons for rehabilitation needs in 134/204 countries, including Canada. Escalating

economic costs related to increased need are placing an international focus on rehabilitation services, prioritizing rehabilitation for low back and neck pain.

Ontario Tech University is uniquely positioned to establish a research institute dedicated to the study of disability and rehabilitation related to musculoskeletal pain and mental health conditions. The new institute will bring together expertise from the Faculty of Health Sciences, the Faculty of Social Sciences and Humanities and the Canadian Memorial Chiropractic College. Research, knowledge translation and policy development activities will include external collaborations with international, national and local organizations.

We propose to establish the Institute for Disability and Rehabilitation Research (IDRR) as a logical step in the growth of the Centre for Disability Prevention and Rehabilitation (CDPR). The CDPR was established in 2012 through a partnership between the Faculty of Health Sciences at Ontario Tech University and Canadian Memorial Chiropractic College (CMCC). The current research activities of the CDPR can be found at https://cdpr.ontariotechu.ca/index.php. Since its inception, Ontario Tech University and CMCC have been equal partners of the CDPR. The CDPR has operated under a successful joint institution governance model and it is now ready to grow and become an official Research Institute at Ontario Tech University. Consequently, the proposed mandate of the new IDRR expands beyond the health sciences (FHSc and CMCC) and will include research-related social sciences and humanities (FSSH).

Building on the successful track record of the CDPR, the new IDRR will conduct research that develops, informs and advocates for innovative strategies and policies to improve the quality of life and well-being of people with disabilities, and to develop effective rehabilitation interventions for Canadians and people worldwide. Research activities at the IDRR will primarily focus on musculoskeletal and mental health conditions.

<u>Vision</u>
The IDRR will be a global leader in creating and disseminating knowledge to improve the quality of life and well-being of people with disability, and in need of rehabilitation services.

<u>Mission</u>
- Improve the quality of life and well-being of people with disability through the conduct of innovative and policy-relevant research.
- Work with the public, clinicians, community partners and governments to develop, evaluate and implement effective clinical and community-based rehabilitation interventions.

<u>Global and National Need for the Centre</u>
The World Health Organization (WHO) defines disability as "an umbrella term, covering impairments, activity limitations, and participation restrictions " (5). This definition supplements the United Nations Convention on the Rights of Persons with Disabilities which states that "Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others"(6). Therefore, disability is a complex and dynamic condition with a multidimensional etiology that results from interactions between a health disorder, personal characteristics and environmental factors. Although disability is commonly triggered by poor health and aging, it cannot be reduced to a disease or a diagnosis. Disability is neither purely medical nor social; its genesis is rooted within the biopsychosocial model of health(5). Therefore, disability should be understood by investigating interactions between the health condition, the environment and personal factors.

Disablement is also a political process. People with disabilities face discrimination in the form of physical, architectural, technological, and attitudinal barriers to their full and equal participation in their communities. They also face state and institutional failures to accommodate and in the absence of substantive differential treatment people with disability experience adverse impacts.

The net result is that people with disability around the world lack meaningful and full access to education, employment, and independent living, and are more likely to live in poverty. Impoverishment and created dependency render these populations—particularly persons with mental disability—vulnerable to abuse. The likelihood of abuse increases for populations in congregate living settings.

We propose that the IDRR's research activities initially focus on people with disabilities related to musculoskeletal and mental health disorders. Musculoskeletal pain and mental health disorders are the two leading causes of disability worldwide. In most countries including Canada, low back and neck pain, other musculoskeletal disorders, depression and anxiety disorders are leading causes of disability. In Canada, almost 10% of adults (2.6 million Canadians) had a pain-related disability in 2012. Pain-related disability accounted for 70.5% of the total burden of disability in Canada and its impact on the financial wellbeing of individuals was significant. The median personal income of Canadian adults with a pain-related disability ($21,400) was roughly $10,000 less than the national median level ($31,320). Moreover, more than 54% of Canadians with pain-related, mobility, flexibility or mental health disability were unemployed in 2012.

Disability related to pain, mobility, flexibility and mental health aggregate in individuals. For example, 75.3% of Canadian adults living with a mental health disability report a pain-related disability, and 61.3% of Canadians living with a pain-related disability report limitation with mobility. However, most research on the determinants and consequences of disability is conducted in silos. Musculoskeletal researchers focus on musculoskeletal disability and mental health researchers focus on mental health disability. Little is known about disability in persons with multiple health conditions such as musculoskeletal pain and mental health problems.

**RESOURCES REQUIRED:**
**Physical Requirements**
No new resources or equipment will be required from Ontario Tech University. IDRR will continue to use resources it has and continues to acquire at Ontario Tech University and CMCC. As in the past, any new resources required will be secured using funds from grants and contracts.

**Staffing Requirements**
The staff at the IDRR will either be employed by Ontario Tech or CMCC. Each staff member is contracted and their salary is contingent on the grants held at CDPR. Support staff salary is secured using grant funds as per the current operational model. CDPR currently has 11 staff employed with secured research funding.

However, with regards to support services the following will continued to be required from Ontario Tech: Office of Research Services, Finance, Human Resources, IT, Faculty of Health Sciences and Faculty of Social Sciences and Humanities. Staff in these departments are all employees of Ontario Tech and would be paid from Ontario Tech. And from CMCC, administrative and technical support will be required from the following departments: Office of Research Administration, Office of the Vice President of Academics, and Departments of Communication, Finance, Human Resources, IT, and CMCC library. Similarly, staff in these support services areas are employees of CMCC and would be paid from CMCC. Graduate and undergraduate students will be employed in the normal way, and visiting scholars will be hosted on an ad-hoc basis in accordance with Ontario Tech University policy.

**Budget and Financial Requirements**
No start-up funding is requested. The discussion will be initiated with the Deans of the FHSc and FSSH to obtain course releases for Drs. Côté and Rinaldi. No other funds are being requested.

We have prepared a five-year draft budget for the next five years of the IDRR (See Appendix D.) Since 2012, the CDPR has functioned from the basic underlying principle of fiscal responsibility

and sustainability. This will continue at the new IDRR. It has benefited from the infrastructure support of its facilities and post-doctoral and graduate students from each of the partnering institutions. In addition, it has benefitted from the funding of Dr. Côté's Canada Research Chair and Dr. Cancelliere's CCRF Research Chair funding, as well as Dr. Mior's research position at CMCC. However, the funding for all other CDPR activity and personnel has come from research grants and contracts, all of which have contributed to the CDPR sustainability.

As per the current projected budget, current grants and contracts will ensure ongoing activity over the next 5 years. Each core scientist is responsible and committed to applying and secure funding for their respective research domain, independently or in collaboration.

A further strength of the IDRR is its Governance structure and accountability of all activities and budget to the Steering Committee, with representations from both institutions. The Steering Committee meets quarterly and is provided an overview of all CDPR related activities, including its budget. This oversight ensures that the CDPR is fiscally responsible and held accountable for its annual budget. Research funds will not be overspent beyond the funding received. Each Principal Investigator with the help of the Research Administrative Officer will monitor and ensure fiscal responsibility.

In 2023, Dr. Côté will end the second and final term of his Canada Research Chair. Dr. Côté is currently exploring alternative research chair funding to ensure that he can continue dedicating time to directing the IDRR. This could be achieved through teaching releases from Ontario Tech University or being awarded another research chair. Failure to secure this funding would greatly limit Côté's ability to effectively direct the IDRR.

**IMPLICATIONS:**
Historically, research on disability and rehabilitation has been siloed primarily between the fields of health sciences and social sciences. However, disability and rehabilitation are multifactorial constructs that deserve interdisciplinary research. Lines of communication and collaboration across disciplines enable health scientists to broaden their consideration to social, political, and economic conditions of disablement; and enables social scientists to ground social constructivist analysis in embodied experiences of disability. Moreover, the need for rehabilitation technologies provides opportunities for Ontario Tech University to lead and innovate in the areas of robotics, data mining and artificial intelligence, while preserving the autonomy and dignity of those in need of these technologies. Therefore, with its focus on "Tech with a Conscience", Ontario Tech University is well positioned to create a unique, modern and socially minded research environment to serve the interests and needs of a complex population.

Understanding the etiology and consequences of musculoskeletal pain and mental health disability requires collaborative research that brings together the health sciences and the social sciences and humanities. The intersection of this research is a public health and social priority because the prevalence of disability related to these conditions are rapidly growing in our aging population. Building of the foundation created at the CDPR, the IDRR will bring together the team, structure and track record to effectively address the research and impact clinical management, policies and health of those with musculoskeletal and mental health-related disabilities. Its multi- and trans-disciplinary team spans the globe and effectively integrates its varied backgrounds and expertise into an effective collaborative enterprise which is strengthened by the unique partnership between the Faculty of Health Sciences, the Faculty of Social Sciences and Humanities and CMCC.

We recognize that disability is grounded within the principle of Equity, Diversity and Inclusion (EDI). The new IDRR will ensure that EDI is at the core of all its activities by building a diverse research team and engaging with community partners. We take our cue from the disability rights movement, which has long embraced a slogan originating in South African disability activism: "nothing about us without us". People with disability are best positioned to articulate their experiences of functional

limitation, barriers to full social participation, and needs for support. In this spirit, our team will commit to assembling advisory boards comprised of people with disability who will inform research design, data collection, analysis, and dissemination. We will provide paid opportunities for people with disability to contribute to research projects. Importantly, our project budgets will include funding for universal design measures, in order to ensure people with disability can fully participate in institute work without having to worry about their accommodation needs.

Scientists who conduct research at the IDRR understand that "Tech with a Conscience" may have a very specific meaning for people with disabilities. Therefore, our research will be conducted through the lens of people with disabilities and we will ensure that the principle of "Tech with a Conscience" is understood from their perspective when investigating rehabilitation interventions, developing knowledge transfer tools, informing policy, or exploring complex issues related to technology and privacy.

The IDRR will function under the principle of self-sustainability. Sustainable growth has been a priority of the CDPR since its creation in 2012. The IDDR will continue with this tradition by being fiscally responsible (through numerous grants and awards) and a strong focus on capacity building (through training and mentoring of future researchers). The IDRR at Ontario Tech University will not only fill a research gap to impact the health and wellbeing of the Durham Region and Northumberland County at large but establish a global presence with our partnering institutions as international leaders. Furthermore, IDRR scientists will have access to the nine CMCC outpatients clinics (located in the Greater Toronto Area) to conduct research and to engage in knowledge translation activities.

In its first nine years, the CPDR has fostered collaborative synergistic relationships with key stakeholders and knowledge users within and outside the university. The new IDRR will expand this effort by:

i.   developing and conducting collaborative policy-relevant research projects;
ii.  effectively communicating research findings to policy-makers and other stakeholders;
iii. developing evidence-based clinical recommendations;
iv.  informing public policy change;
v.   attracting and developing relationships with national and international organizations; and
vi.  training the next generation of scholars in the field of disability and rehabilitation.

Examples include collaboration with provincial and regional (the Government of Ontario, the Financial Services Commission of Ontario, Ontario Chiropractic Association, Canadian Mental Health Association – Durham, Community Living Ontario, Rainbow Health Ontario), national (AVIVA Canada, Insurance Bureau of Canada, the College of Chiropractors of British Columbia, Canadian Armed Forces, Canadian Chiropractic Guidelines Imitative, Canadian Chiropractic Association, National Educational Association of Disabled Students) and international organizations (World Health Organization, Cochrane Rehabilitation, Global Rehabilitation Alliance, Eurospine, World Federation of Chiropractic, Global Spine Care, and "Haute Autorité de santé (HAS)" (France).

The IDRR will continue to build on the tradition of the CDPR and expand its collaboration within the university by creating a formal research collaboration between the Faculty of Health Sciences and the Faculty of Social Sciences and Humanities. In the past nine years, CDPR has successfully conducted collaborative projects with Ontario Tech University partners from the Faculty of Health Sciences, Faculty of Education, Faculty of Business and Information Technology and the Faculty of Social Sciences and Humanities, as well as at the Automotive Centre of Excellence. At CMCC, collaborative projects have included faculty members from the Departments of Clinic, Research and Innovation, Graduate Studies, and Student Services. As evidenced in the following sections,

the IDRR collaborations extend far beyond the walls of both institutions, reaching across Canada and around the world.

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**
The proposed work conducted at the IDRR aligns perfectly with the Ontario Tech University's strategic research priority (Strategic Research Plan 2020-25): "Healthy populations, community well-being and social justice". The university is committed to creating sustainable and healthy communities by facilitating innovative research that enhances the capacities of local, national and global communities to thrive and grow in ways that are healthy and sustainable. As such, the IDRR will support ongoing collaborations and promote new partnerships between local, national and international knowledge users and faculty members engaged in the fields of health promotion, community and public health, social sciences, mental health and epidemiology. The IDRR will contribute to the implementation of the Strategic Research Plan 2020-25 by:

- Conduct biopsychosocial research in the field of disability and rehabilitation;
- Prioritize public health and clinical research to support the health and wellness of populations, the impact of health and social policy on people with disabilities, rehabilitation services, and compensation and health services system.
- Intensify ongoing research that brings together health and social sciences with an explicit focus on the pursuit of social justice;
- Build a network of comprehensive research partnerships with international national/provincial/local organizations invested in disability and rehabilitation.

IDRR's research program supports the Ontario Tech University Strategic Research Plan as follows:

- IDRR will play a lead role in strengthening the FHSc's, FSSH's and the overall university's research capacity in the area of disability and rehabilitation using innovative, interdisciplinary approaches. The FHSc, FHHS and CMCC have demonstrated research expertise in:1) Epidemiology of disability and rehabilitation; 2) Knowledge translation in disability and rehabilitation; 3) Disability and rehabilitation policies and practices; 4) Sleep, function and rehabilitation; and 5) Disability justice through legal and political advocacy. However, academics working in "silos" artificially divide research conducted in the health sciences from research in the social sciences and humanities. By bringing together faculty from the FHSc, FSSH and CMCC, the IDRR's research program will continue to be a catalyst for transdisciplinary research at Ontario Tech University.
- The IDRR will provide new training opportunities for students. Experiential learning has been a foundational principle of Ontario Tech University since its inception. In particular, faculty members have focused on student engagement in research at both the undergraduate and graduate levels. The proposed IDRR research programs will provide excellent training and powerful incentives for HQP to pursue graduate-level programs at both Ontario Tech University and CMCC. The work conducted in the IDRR will be an excellent forum to expose undergraduate and graduate students to interdisciplinary research as they will participate in research teams with individuals from diverse fields/areas of study and practice.
- Through extensive regional, national, and international research networks, the IDRR faculty will provide expert knowledge related to disability and rehabilitation. With an established track record in conducting studies of clinical and rehabilitative interventions, participatory action research and artistic research-creation, systematic reviews and clinical practice guidelines, cohort studies and interventions, and implementation science at the patient and population levels, faculty in the IDRR will build research capacities at multiple levels. The current research collaborations established by IDRR faculty extend well beyond Canada. For example, established networks involving researchers from the University of Guelph, Wilfrid Laurier University, York University, Ryerson University, Brock University, California State University, Northern Arizona University, University of Southern Denmark, New York University, the University of Bordeaux, the University of Oslo, the University of

Alberta, Macquarie University and the University of Toronto have been established. It is anticipated that all of these institutions will collaborate on IDRR research programs thereby extending the visibility of Ontario Tech University and CMCC in these important areas. Furthermore, it is anticipated that CMCC's alumni and faculty, currently practicing in 43 countries, together with Ontario Tech University's extensive network of national and global research collaborations will contribute to the IDRR goals. Within Ontario Tech University, current and past collaborators include Drs. Ginny Brunton, Adam Dubrowski, Efrosini Papaconstantinou, David Rudoler, and Ellen Vogel from FHSc; Dr. Bill Kapralos from Faculty of Business and Information Technology; Drs. Robyn Kay, Jennifer Laffier and Bill Muirhead from the Faculty of Education; Dr. Tyler Fredirick from the Faculty of Social Science and Humanities, and Ms. Olivia Petrie Assistant VP Student Life.

- It will contribute to a culture of innovation at Ontario Tech University. The past decade has established Ontario Tech University as a research-driven institution that meets national and international standards for excellence. While building on Ontario Tech University's growing reputation in the area of community-based health research, research in the IDRR will continue to expand new strategic research capacities for the interdisciplinary studies of population health/epidemiology, clinical research, and disability and law research in Canada and abroad. The IDRR research program, with its multi- and trans-disciplinary approaches and focus on informing evidence-based policies, will address current knowledge gaps while promoting healthy aging within our society. Through developing and sustaining academic-community research partnerships focused on disability and rehabilitation, the IDRR research program will continue to play a catalytic role in seeding multiple projects examining a variety of policy priorities of high relevance to knowledge users (government policymakers, regulators, insurers, employers, healthcare providers, and patients/ consumers). Finally, the IDRR research program will position Ontario Tech University, CMCC, and key community stakeholders as authorities on disability and rehabilitation research and enhance knowledge dissemination efforts nationally and globally focused on updated, evidence-based information. Building on Ontario Tech University's strengths in adopting new information and communication technologies for teaching and learning, subject experts will seek to involve key audiences through state-of-the-art interactive websites, public talks, policy forums, and media outreach. For example, an exciting new initiative at the IDRR is to develop and evaluate telesimulation approaches to train rehabilitation professionals to provide MSK rehabilitation virtually. This new initiative builds upon the strength of the collaboration between CMCC and Ontario Tech University as well as provides an opportunity to attract new PhD, Masters and Residents to learn and contribute to this emerging area of research. Furthermore, the multitude of partnerships involved in IDRR initiatives are consistent with the collaborative research and teaching culture successfully fostered across Ontario Tech University.

Ontario Tech University's priorities include innovative educational opportunities and training that align with this proposed IDRR and its research program. Another priority in the Ontario Tech University strategic research plan is to closely match research and knowledge creation with training opportunities to ensure students are skilled in areas of importance to Canadian health-related industries. The technical and professional skills the trainees will acquire in the proposed program, as well as the specific knowledge associated with the research undertaken by the trainees, are an exact fit in this regard. Upon completion of the program, the trainees will be able to transition into employment with the skills necessary to have an immediate impact. In short, the goals and objectives of the IDRR are completely aligned with the academic-research strategic priorities of Ontario Tech University, and therefore fully committed to its success.

The proposed research is also well aligned with four of the six major research domains of the FHSc: (i) Integrated approaches to the identification, understanding, prevention, and management of chronic conditions and disabilities; (ii) Advancing the study of human health and movement through biological, clinical, and community research; (iii) Promoting health in vulnerable individuals

and groups: personal, social, environmental, and global determinants of health; and (iv) Critically inquiring into the human health experience.

**ALTERNATIVES CONSIDERED:**
- Maintain the existing structure of the CDPR: Research on disability and rehabilitation requires a multidisciplinary approach. Currently, the CDPR research activities focus on epidemiology, public health and health policy. This focus is too narrow and needs to be expended to include the social sciences and humanities and the use of technologies.
- Not creating the IDRR. This would be a missed opportunity for Ontario Tech University to increase in local, national and international visibility and credibility in the field of disability and rehabilitation research. Moreover, it would limit the ability of the university to obtain significant research finding in this field.

**CONSULTATION:**
- *Office of Research Services*: Consultation from November 12, 2020 to May 20, 2021;
- *CMCC:* Consultation from November 12, 2020 to May 20, 2021;
- *VPRI*: Discussed at CDPR Steering Committee on November 12, 2020 and May 4, 2021.
- *Partnership/advancement teams*: Discussion on March 16, 2021.
- *FHSc information/discussion session*: May 12, 2021.
- *FSSH Executive Committee*: Discussion on May 2021 Executive Committee meeting.
- *Research Board*: Motion passed May 20, 2020.
- *Academic Council*: Recommendation being presented on June 22, 2021.

**COMPLIANCE WITH POLICY/LEGISLATION:**
The IDRR proposal was developed in conjunction with the Office of Research Services to align with the University's Procedure for the Creation of Research Units, Centres and Institutes (see Appendix 1).

**NEXT STEPS:**
Board of Governors – June 24, 2021 for approval.

**MOTION FOR CONSIDERATION:**

*That pursuant to the recommendation of Academic Council, the Board of Governors hereby approves the establishment of the Institute for Disability and Rehabilitation Research (IDRR), as presented.*

**SUPPORTING REFERENCE MATERIALS:**
- Proposal for the establishment of the Institute for Disability and Rehabilitation Research (IDRR)

# Proposal for the Establishment of the
# Institute for Disability and Rehabilitation Research

# May 28, 2021

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1.      Name of the Entity:

Institute for Disability and Rehabilitation Research

2.      Proposers – including name, title, and contact information

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3.      Background Description and Justification

*3.1.    Explain why the entity is needed at Ontario Tech University, and if possible, the larger community.*

Disability is an ever-present, never fully preventable, characteristic of communities around the world. According to the World Health Organization, approximately 15% of the global population lives with disability in some form [1]. This minority is vastly diverse, encompassing physical, developmental, learning, and psychiatric conditions. Across this wide range of embodied differences, people with disabilities share in common needs related to health care support and accommodations in the community, and histories of discriminatory treatment. According to the Global Burden of Disease Study, the three main causes of disability throughout the world are low back pain, headache disorders and depressive disorders [2].

The changing demographics have led to a sharp rise in the number of people experiencing disability, or deteriorations in functioning. These changes emphasize more than ever the need for effective, accessible and equitable rehabilitation services. Rehabilitation is a set of interventions needed when a person experiences limitations in everyday physical, mental, and social functioning due to ageing or a health condition, including chronic diseases or disorders, injuries, or trauma [3]. Globally in 2019, 2.4 billion individuals needed rehabilitation, with low back and neck pain being the main reasons for rehabilitation needs in 134/204 countries, including Canada [4]. Escalating economic costs related to increased need is placing an international focus on rehabilitation services, prioritizing rehabilitation for low back and neck pain.

Ontario Tech University is uniquely positioned to establish a research institute dedicated to the study of disability and rehabilitation related to musculoskeletal pain and mental health conditions. The new institute will bring together expertise from the Faculty of Health Sciences, the Faculty of Social Sciences and Humanities and the Canadian Memorial Chiropractic College. Research,

knowledge translation and policy development activities will include external collaborations with international, national and local organizations.

We propose to establish the Institute for Disability and Rehabilitation Research (IDRR) as a logical step in the growth of the Centre for Disability Prevention and Rehabilitation (CDPR). The CDPR was established in 2012 through a partnership between the Faculty of Health Sciences at Ontario Tech University and Canadian Memorial Chiropractic College (CMCC). The current research activities of the CDPR can be found at https://cdpr.ontariotechu.ca/index.php. Since its inception, Ontario Tech University and CMCC have been equal partners of the CDPR. The CDPR has operated under a successful joint institution governance model and it is now ready to grow and become an official Research Institute at Ontario Tech University. Consequently, the proposed mandate of the new IDRR expands beyond the health sciences (FHSc and CMCC) and will include research-related social sciences and humanities (FSSH).

Building on the successful track record of the CDPR, the new IDRR will conduct research that develops, informs and advocates for innovative strategies and policies to improve the quality of life and well-being of people with disabilities, and to develop effective rehabilitation interventions for Canadians and people worldwide. Research activities at the IDRR will primarily focus on musculoskeletal and mental health conditions.

### Vision

*The IDRR will be a global leader in creating and disseminating knowledge to improve the quality of life and well-being of people with disability, and in need of rehabilitation services.*

### Mission

- *Improve the quality of life and well-being of people with disability through the conduct of innovative and policy-relevant research.*
- *Work with the public, clinicians, community partners and governments to develop, evaluate and implement effective clinical and community-based rehabilitation interventions.*

### Global and National Need for the Centre

The World Health Organization (WHO) defines disability as "an umbrella term, covering impairments, activity limitations, and participation restrictions " [5]. This definition supplements the United Nations Convention on the Rights of Persons with Disabilities which states that "Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others"[6]. Therefore, disability is a complex and dynamic condition with a multidimensional etiology that results from interactions between a health disorder, personal characteristics and environmental factors. Although disability is commonly triggered by poor health and aging, it cannot be reduced to a disease or a diagnosis. Disability is neither purely medical nor social; its genesis is rooted within the biopsychosocial

model of health[5]. Therefore, disability should be understood by investigating interactions between the health condition, the environment and personal factors.

Disablement is also a political process. People with disabilities face discrimination in the form of physical, architectural, technological, and attitudinal barriers to their full and equal participation in their communities[7]. They also face state and institutional failures to accommodate and in the absence of substantive differential treatment people with disability experience adverse impacts. The net result is that people with disability around the world lack meaningful and full access to education, employment, and independent living, and are more likely to live in poverty[8]. Impoverishment and created dependency render these populations—particularly persons with mental disability—vulnerable to abuse. The likelihood of abuse increases for populations in congregate living settings [9].

We propose that the IDRR's research activities initially focus on people with disabilities related to musculoskeletal and mental health disorders. Musculoskeletal pain and mental health disorders are the two leading causes of disability worldwide. In most countries including Canada, low back and neck pain, other musculoskeletal disorders, depression and anxiety disorders are leading causes of disability[10, 11]. In Canada, almost 10% of adults (2.6 million Canadians) had a pain-related disability in 2012. Pain-related disability accounted for 70.5% of the total burden of disability in Canada and its impact on the financial wellbeing of individuals was significant. The median personal income of Canadian adults with a pain-related disability ($21,400) was roughly $10,000 less than the national median level ($31,320)[11]. Moreover, more than 54% of Canadians with pain-related, mobility, flexibility or mental health disability were unemployed in 2012[11-14].

Disability related to pain, mobility, flexibility and mental health aggregate in individuals. For example, 75.3% of Canadian adults living with a mental health disability report a pain-related disability, and 61.3% of Canadians living with a pain-related disability report limitations with mobility [15]. However, most research on the determinants and consequences of disability is conducted in silos. Musculoskeletal researchers focus on musculoskeletal disability and mental health researchers focus on mental health disability. Little is known about disability in persons with multiple health conditions such as musculoskeletal pain and mental health problems.

## Why an Institute for Disability and Rehabilitation Research at Ontario Tech University?

Historically, research on disability and rehabilitation has been siloed primarily between the fields of health sciences and social sciences. However, disability and rehabilitation are multifactorial constructs that deserve interdisciplinary research. Lines of communication and collaboration across disciplines enable health scientists to broaden their consideration to social, political, and economic conditions of disablement; and enables social scientists to ground social constructivist analysis in embodied experiences of disability. Moreover, the need for rehabilitation technologies provides opportunities for Ontario Tech University to lead and innovate in the areas of robotics, data mining and artificial intelligence, while preserving the autonomy and dignity of those in need of these technologies. Therefore, with its focus on "*Tech with a Conscience*", Ontario Tech

University is well-positioned to create a unique, modern and socially-minded research environment to serve the interests and needs of a complex population.

Understanding the etiology and consequences of musculoskeletal pain and mental health disability requires collaborative research that brings together the health sciences and the social sciences and humanities. The intersection of this research is a public health and social priority because the prevalence of disability related to these conditions are rapidly growing in our aging population[11-14, 16, 17]. Building of the foundation created at the CDPR, the IDRR will bring together the team, structure and track record to effectively address the research and impact clinical management, policies and health of those with musculoskeletal and mental health-related disabilities. Its multi- and trans-disciplinary team spans the globe and effectively integrates its varied backgrounds and expertise into an effective collaborative enterprise which is strengthened by the unique partnership between the Faculty of Health Sciences, the Faculty of Social Sciences and Humanities and CMCC.

We recognize that disability is grounded within the principle of Equity, Diversity and Inclusion (EDI). The new IDRR will ensure that EDI is at the core of all its activities by building a diverse research team and engaging with community partners. We take our cue from the disability rights movement, which has long embraced a slogan originating in South African disability activism: "nothing about us without us"[18]. People with disability are best positioned to articulate their experiences of functional limitation, barriers to full social participation, and needs for support. In this spirit, our team will commit to assembling advisory boards comprised of people with disability who will inform research design, data collection, analysis, and dissemination. We will provide paid opportunities for people with disability to contribute to research projects. Importantly, our project budgets will include funding for universal design measures, in order to ensure people with disability can fully participate in institute work without having to worry about their accommodation needs.

Scientists who conduct research at the IDRR understand that *"Tech with a Conscience"* may have a very specific meaning for people with disabilities. Therefore, our research will be conducted through the lens of people with disabilities and we will ensure that the principle of *"Tech with a Conscience"* is understood from their perspective when investigating rehabilitation interventions, developing knowledge transfer tools, informing policy, or exploring complex issues related to technology and privacy.

The IDRR will function under the principle of _self-sustainability_. Sustainable growth has been a priority of the CDPR since its creation in 2012. The IDDR will continue with this tradition by being fiscally responsible (through numerous grants and awards) and a strong focus on capacity building (through training and mentoring of future researchers). The IDRR at Ontario Tech University will not only fill a research gap to impact the health and wellbeing of the Durham Region and Northumberland County at large but establish a global presence with our partnering institutions as international leaders. Furthermore, IDRR scientists will have access to the nine CMCC outpatients clinics (located in the Greater Toronto Area) to conduct research and to engage in knowledge translation activities.

*3.2.       Describe how the entity will foster synergistic collaboration that would not otherwise be possible, and how the entity would facilitate research among scholars within the university and in the wider community.*

In its first nine years, the CPDR has fostered collaborative synergistic relationships with key stakeholders and knowledge users within and outside the university. The new IDRR will expand this effort by:

i.   developing and conducting collaborative policy-relevant research projects;
ii.  effectively communicating research findings to policy-makers and other stakeholders;
iii. developing evidence-based clinical recommendations;
iv.  informing public policy change;
v.   attracting and developing relationships with national and international organizations; and
vi.  training the next generation of scholars in the field of disability and rehabilitation.

Examples include collaboration with provincial and regional (the Government of Ontario, the Financial Services Commission of Ontario, Ontario Chiropractic Association, Canadian Mental Health Association – Durham, Community Living Ontario, Rainbow Health Ontario), national (AVIVA Canada, Insurance Bureau of Canada, the College of Chiropractors of British Columbia, Canadian Armed Forces, Canadian Chiropractic Guidelines Imitative, Canadian Chiropractic Association, National Educational Association of Disabled Students) and international organizations (World Health Organization, Cochrane Rehabilitation, Global Rehabilitation Alliance, Eurospine, World Federation of Chiropractic, Global Spine Care, and "Haute Autorité de santé (HAS)" (France).

The IDRR will continue to build on the tradition of the CDPR and expand its collaboration within the university by creating a formal research collaboration between the Faculty of Health Sciences and the Faculty of Social Sciences and Humanities. In the past nine years, CDPR has successfully conducted collaborative projects with Ontario Tech University partners from the Faculty of Health Sciences, Faculty of Education, Faculty of Business and Information Technology and the Faculty of Social Sciences and Humanities, as well as at the Automotive Centre of Excellence. At CMCC, collaborative projects have included faculty members from the Departments of Clinic, Research and Innovation, Graduate Studies, and Student Services. As evidenced in the following sections, the IDRR collaborations extend far beyond the walls of both institutions, reaching across Canada and around the world. (See Section 7 for the list of Collaborators).

## 4.       Research Mandate

*4.1.       Outline the type of research to be performed and identify the scope of activities envisaged.*
The research mandate of the IDRR will include five synergistic interdisciplinary research domains. Each domain will be led by an experienced scientist. The IDRR will also benefit from the scientific experience of three renewed scientists with expertise in the research area that are directly relevant to our research mandate.

## Scientific Team

| Research Domain | Lead Scientist | Affiliation |
|---|---|---|
| Epidemiology of disability and rehabilitation | Pierre Côté | FHSc |
| Knowledge translation in disability and rehabilitation | Carol Cancelliere | FHSc |
| Disability and rehabilitation policies and practices | Silvano Mior | CMCC |
| Sleep, function and rehabilitation | Efrosini Papaconstantinou | FHSc |
| Disability justice through legal and political advocacy | Jen Rinaldi | FSSH |
| Research Expertise | | |
| Biostatistics | Sheilah Hogg-Johnson | CMCC |
| Law, privacy and technology | Andrea Slane | FSSH |
| Systematic reviews of the literature; Community engagement | Ginny Brunton | FHSc |
| Clinical Education and Patient Care | Craig Jacobs | CMCC |
| Qualitative research | Ellen Vogel | FHSc |
| Psychology, Sleep research | Bobby Stojanoski | FSSH |

Figure 1 illustrates that the institute's domains exploring epidemiology, knowledge translation, and sleep research share important points of intersection. These three domains are featured in the diagram in a virtuous circle to show their co-constitutive relationships. The three domains inform policy and practice on disability and rehabilitation (a domain which is centred in the diagram) and vice versa. All the work conducted in these domains is situated in a wider context of disability justice, made possible through legal and political advocacy efforts.



Figure 1. Institute for Disability and Rehabilitation Research – Research Domains
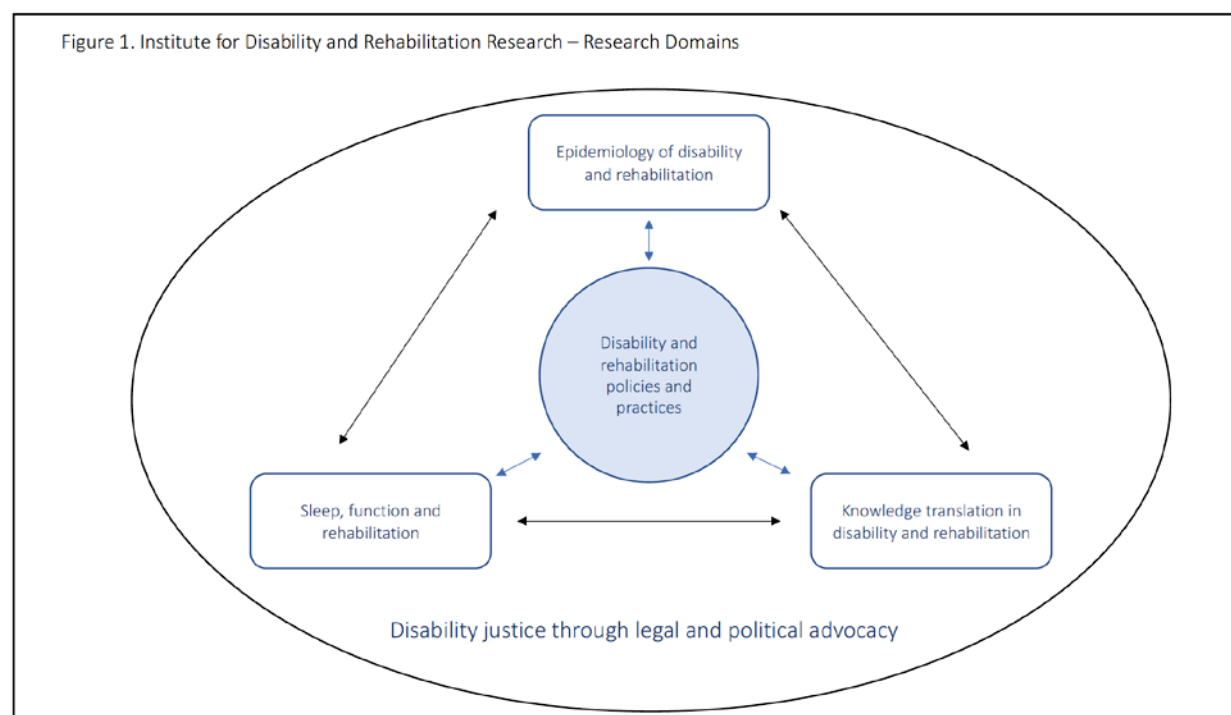
Below, we describe the scope of research for each domain and provide examples of past and current research projects. We also provide a description of future research activities. Details of past and current projects can be found in Appendix A.

## Domain 1. EPIDEMIOLOGY of DISABILITY and REHABILITATION

Domain 1 includes three main objectives.

*Objective 1:* Investigate the etiology and course of disability related to musculoskeletal conditions and mental health disorders from a biopsychosocial perspective.

Methodological approach: We will investigate the risk and prognostic factors of disability related to musculoskeletal and mental disorders by conducting cross-sectional, case-control and cohort studies of various populations including but not restricted to clinical samples and the general public.

Example: *The Ontario Tech University Mental Health and Wellness Study*

In 2017, we conducted a cross-sectional study of post-secondary students enrolled in the Faculty of Health Sciences and Faculty of Education at Ontario Tech University, and at the Canadian Memorial Chiropractic College to determine the burden and factors associated with symptoms of depression, anxiety and stress in the undergraduate student population. The study was conducted in partnership with the Canadian Mental Health Association-Durham, and funded by the Ontario Trillium Foundation and the Canadian Association of College and University Student Services. To date, six MHSc students at Ontario Tech University and one resident at CMCC have used the data for their thesis. The project involved collaborators from: 1) Ontario Tech University from the Faculty of Health Sciences, Faculty of Education, Faculty of Health Sciences and Humanities; 2) Ontario Shores Centre for Mental Health Sciences; 3) CMCC and 4) the University of Alberta. This project led to the design and funding of the "Sustainable University Life" (SUN) a large cohort study of university students from Stockholm Sweden, at the Karolinska Institutet where Professor Côté is a co-principal investigator. The outcome of this research is currently being considered by university administrators to improve student mental health.

*Objective 2:* Evaluate the effectiveness of clinical and community-based rehabilitation interventions for the management of musculoskeletal conditions and mental health disorders.

Methodological approach: We will design and conduct systematic reviews of the literature and randomized controlled trials to determine the benefits and risks of rehabilitation interventions used to treat patients with musculoskeletal conditions and mental health disorders.

Example: *Post-surgical rehabilitation for low back pain: an integrated systematic review and evidence synthesis.* Surgical rates for low back pain have been increasing. Many patients treated surgically require post-surgical rehabilitation. However, little is known about the effectiveness of post-surgical rehabilitation interventions on health outcomes, or about patients' experiences with these interventions. With funding from the Eurospine Task Force on Research, Dr. Carolina Cancelliere is leading a systematic review and evidence synthesis of quantitative and qualitative studies to determine: (1) the effectiveness of post-surgical rehabilitation interventions; and (2) the experiences of patients, healthcare providers, caregivers, or involved with the rehabilitation. The research team is interdisciplinary (spinal surgery, physiotherapy, chiropractic, nursing, epidemiology), international (Canada, U.S., Portugal) and includes trainees (Master's, PhD and postdoctoral levels). The study protocol was published in BMJ Open 2020.

*Objective 3:* Advance the methodology used to conduct randomized controlled trials and systematic reviews of the literature in rehabilitation.

Methodological approach: We will use scoping reviews of the literature and meta-epidemiological methods to identify the impact of methodological bias on the internal validity of studies of the effectiveness rehabilitation interventions

Example: In collaboration with clinicians and researchers involved in Cochrane Rehabilitation, we conducted a scoping review of the literature to identify methodological gaps and improve the reporting of outcomes measures in randomized controlled trials of rehabilitation interventions is currently available. The study was conducted by Dr. Demi Wang, a post-doctoral fellow who is supervised by Dr. Côté at the CDPR. The study recommendations, published in the American Journal of Physical Medicine and Rehabilitation, were endorsed by Cochrane Rehabilitation and recommended for the development of future studies of the effectiveness of rehabilitation interventions.

## Looking Ahead:

Musculoskeletal and mental health disorders are leading causes of disability globally and their impact on individuals and society will continue to grow in the next decade. Optimizing the health, economy and welfare of our population will require increased investments in understanding the etiology of disability related to these conditions. This will in turn inform the development of evidence-based rehabilitation interventions. The research conducted in *Domain 1 - Epidemiology of disability and rehabilitation* will address these priorities. In the next five years, we will continue to develop the following key following initiatives:

i.   Creation of a World Health Organization (WHO) Collaborating Centre in Spine Rehabilitation;
ii.  Development of indicators of effective coverage for LBP rehabilitation – A Collaboration with the World Health Organization (WHO);
iii. Analysis of the Canadian Community Health Survey and Canadian Survey of Disability (CSD) to understand the burden of pain-related and mental health-related disability and their rehabilitation needs in Canadians;
iv.  Analysis of the Aboriginal People Survey to describe the burden of pain-related and mental health-related disability among Indigenous Communities of Canada;
v.   Advance the measurement of disability in the elderly population;
vi.  Development of an Ontario automobile insurance data registry to monitor health care utilization and the recovery of individuals involved in traffic collision;
vii. Development of a literature review unit whose products will be used to inform public policy on the management of chronic health disorders.

## Domain 2. KNOWLEDGE TRANSLATION in DISABILITY and REHABILITATION

Domain 2 includes two main objectives.

*Objective 1:* Development of clinical practice guidelines for the management of musculoskeletal disorders.

Methodological approach: We use established, rigorous methods to develop guidelines, including those provided by the Guidelines International Network, the WHO, and the GRADE approach. The methods involve evidence-based systematic reviews, multidisciplinary panels and stakeholder engagement. Stakeholders include those who may be impacted by the guidelines, such as patients and the public, healthcare providers, caregivers, community members and other decision-makers.

Example: *Management of lumbar spinal stenosis: clinical practice guideline.* Lumbar spinal stenosis is increasingly common with an aging population and can be associated with significant disability. We developed an evidence-based clinical practice guideline for the non-surgical care of people with lumbar spinal stenosis. This guideline can contribute to preventing and limiting the burden of musculoskeletal disability in the aging population. The research and technical team are interdisciplinary (medicine, orthopedic surgery, physiotherapy, chiropractic), international (Canada, U.S., Denmark) and include trainees (Master's, PhD and postdoctoral levels). The manuscript has been published (The Journal of Pain, April 8, 2021).

*Objective 2:* Implement knowledge in practice.

Methodological approach: To ensure our work and clinical resources are relevant and useful to target audiences, we use integrated knowledge translation (i.e., include end users as equal partners in knowledge development and implementation), the Knowledge-to-Action process model, and other established models, theories and frameworks.

Example: The Canadian Chiropractic Guideline Initiative developed a publicly accessible website https://www.ccgi-research.com containing evidence-based clinical practice guidelines, clinician summaries, patient handouts, outcome measures, exercise videos and forms, podcasts, and links to other resources. Resources are available in English in French. Topics include: low back and neck pain, headache, knee pain, shoulder pain, osteoarthritis, concussion, depression in children, physical activity throughout pregnancy, and guidance to clinicians (such as chiropractors, physicians and physical therapists) for delivering musculoskeletal care virtually. We are building continuing education modules. A module on identifying red flags in adults with low back pain is being developed with a multidisciplinary panel (medicine, surgery, chiropractic, physiotherapy, radiology) (target launch 2021). To contribute to the science of knowledge translation, we developed a clinician tool with clinicians (integrated knowledge translation), then conducted a qualitative study about their experiences and perspectives regarding the co-production of knowledge (manuscript submitted to Implementation Science Communication, March 2021). We also published case reports and commentaries (2020-21) regarding how evidence is applied to manage patients with musculoskeletal conditions and mild traumatic brain injuries.

## Looking Ahead:

Knowledge translation research plays a key role in facilitating the uptake of clinical practice guidelines/best practice recommendations through the use of strategies to enhance the dissemination and implementation of clinical practice guidelines/best practice recommendations. In the next 5 years, we will continue evaluating these strategies with particular emphasis on:

   i.   Updating of existing clinical practice guidelines;

   ii.  Developing new clinical practice guidelines for 1) management of MSK disorders in children and 2) post-surgical rehabilitation in adults treated surgically leg and back pain;

iii.   Developing guideline implementation tools guided by implementation models, theories and frameworks such as the Knowledge-to-Action framework and exploring how rehabilitation professionals can effectively provide musculoskeletal rehabilitation virtually.

iv.   Exploring knowledge users' experience with the integrated knowledge translation process;

v.   Determine if guideline implementation tools improve clinicians' knowledge of evidence-based practice for musculoskeletal rehabilitation, changes clinicians' practice behaviours, and ultimately leads to improved patient outcomes and cost-effectiveness of care. Thus, we aim to conduct intervention studies such as randomized controlled trials.

## Domain 3. DISABILITY and REHABILITATION POLICIES and PRACTICE

Domain 3 includes three main objectives.

*Objective 1:* Understand the experiences and health impact of MSK disability.

Methodological approach: We will use a mixed-methods approach within a participatory action research framework to understand and develop strategies to impact MSK disability by engaging our key stakeholders.

Example: Examining Chiropractic services in the Canadian Forces Health. In a multiphase study funded by grants from the Canadian Chiropractic Association and Ontario Chiropractic Association, we developed and implemented a model of care that included evidence-based chiropractic services to facilitate collaboration between off-base chiropractors and health care providers within the Canadian Armed Forces. Model development emerged from a qualitative study and formed the framework for the creation of a Practice-Based Research Network that implemented the evidence-based model of care with two Canadian Forces Bases. The outcomes support model components and improved communication and interprofessional collaboration. The final phase will explore military personnel's access and experience to chiropractic services. The project is conducted with the approval of the Canadian Armed Forces Director of Health Care Services. In addition, co-investigators include faculty from Ontario Tech University, CMCC, New York University, University of Toronto and Macquarie University. The project has also involved graduate students at CMCC, including one who conducted site research in Phase II.

Objective 2: Understand the patient's role in care delivery.

Methodological approach: We will use a mixed-methods explanatory sequential design to quantitatively assess the extent of patient-centred care delivered to patients with chronic MSK pain and qualitatively explore patient and provider perspectives of such care.

*Example: Assessing patient-centred care in patients with chronic health conditions attending chiropractic practice: a mixed-methods study.* Patients with chronic health conditions tend to have different healthcare needs than those in acute care. Health care reform is increasingly focusing on patient-centred care for those with both acute and chronic health conditions. In patient-centred care, the goals and needs of patients are prioritized rather than emphasizing doctor or institutional-centred care. Chiropractic is a profession that has been historically considered to be patient-centred. Furthermore, chiropractors regularly see patients with chronic health conditions.

However, to date, there have been no studies assessing the degree to which chiropractic care for patients with chronic conditions is patient-centred. This study will fill this important gap and provide information from the perspectives of both patients and chiropractors on patient-centredness. This project forms part of Dr. Kent Stuber's PhD thesis, involving collaborators from University of South Wales, and Dr. Mior sits on the committee. Two papers have already been published from this work.

_Objective 3:_ Assess equity, diversity and inclusion among rehabilitation health professionals in Canada.

Methodological approach: We will employ survey methodology to assess the cultural agility and perspectives of health professionals about equity of access to rehabilitation services for patients with MSK conditions.

Example: Evidence suggests that Canada's Health Care system has not yet evolved to meet the needs of all Canadians. Canadian Indigenous peoples, sexual and racial minorities, immigrants, and people living with functional limitations experience significant health inequalities. The cause of these inequalities is complex; however, their existence points to a need to develop and achieve cultural agility, as well as addressing issues of diversity, equity and inclusion in the delivery of rehabilitation services, including chiropractic services. In collaboration with the Canadian Chiropractic Association, researchers are engaging in informed strategies leading to the assessment and implementation of activities to enhance the cultural agility of its members. However, the cultural agility of Canadian chiropractors has not been formally assessed. Results from this study will help to guide public health policy for the equitable delivery of health care services and may encourage other health professions to critically evaluate care delivery for patients from diverse communities and/or cultural groups. This study involves researchers from CMCC, Ontario Tech, McMaster and Western University, in collaboration with Canadian Chiropractic Association and the Canadian Physiotherapy Association. This project is funded by CCA ($23,485) and led by Mior.

## Looking Ahead:

Investigating clinical and patient outcomes, as well as models of care, continue to inform related disability and rehabilitation policies and practices. In particular, understanding the patient and provider experiences in the context of rehabilitation care delivered are important yet infrequently explored components in this field.

In the next 5 years, we will focus our attention on:

i.  Exploring patient experiences within the Canadian Forces when self-seeking or referred for chiropractic care for musculoskeletal conditions.

ii.  A longitudinal study assessing the impact of curricular change on students' attitudes to patient-centred care, and potential impact on care delivery.

iii.  Understanding back pain and the effect of care on pain and disability in seniors.

iv.  Evaluating factors associated with the safety of manual therapy, particularly in seniors.

v.  Understanding health care provider perception of the influence of healthcare diversity, equity and inclusion in patient care and access to rehabilitation services.

## Domain 4. SLEEP, FUNCTION AND REHABILITATION

Domain 4 includes three main objectives

*Objective 1:* Understand the association between sleep, mental health and musculoskeletal pain.

Methodological approach: We will investigate the associations of sleep, mental health and MSK pain as well as potential mediators of these relationships through the conduction of systematic reviews, cross-sectional survey, and cohort studies in various clinical and non-clinical populations.

Example: To date, we have conducted 3 systematic reviews examining the association between various sleep characteristics and mental health outcomes in post-secondary students. One has already been published and two of these systematic reviews formed part of the thesis of two graduate students (both of whom have been supervised by Dr. Papaconstantinou). One study on the association of sleep quality and depressive symptomatology has been completed and currently under review. Another study on the association of sleep quality and anxiety in post-secondary students is in progress and the manuscript is in preparation. As part of the *Ontario Tech University Mental Health and Wellness Study*, a cross-sectional study of post-secondary students enrolled in the Faculty of Health Sciences and Faculty of Education at OTU, and at the Canadian Memorial Chiropractic College (CMCC), we are examining the relationship between sleep quality and various mental health outcomes. To date, two students have accessed this data to examine these relationships as part of their thesis. We have also completed one systematic review examining the effectiveness of non-pharmacological interventions on sleep characteristics among adults with musculoskeletal pain and a comorbid sleep problem that is currently under review. This systematic review has paved the way for the development and piloting of digital sleep interventions to improve sleep, pain and other functions in MSK pain populations.

Objective 2: Develop and evaluate sleep interventions to improve sleep outcomes.

Methodological approach: We will develop and evaluate sleep interventions using systematic reviews on effectiveness, mixed-methods studies using a transdisciplinary approach, and randomized controlled trials.

Example: *Digital Sleep Interventions*. We were successful in securing CIHR funding to synthesize the existing literature on the effectiveness of virtual sleep intervention delivery to improve sleep and mental health outcomes in the post-secondary student population. Many knowledge translation and creative mobilization activities have occurred as a result of this study. This work has also paved the way for the pursuit of other funding opportunities to develop digital sleep interventions for other populations. We have submitted a letter of intent to the Canadian Chiropractic Research Foundation for the spring competition to develop an acceptable digital sleep education module for rehabilitation clinicians to assess and manage sleep problems in MSK pain populations. As a result of previous pilot work on the effectiveness of a sleep intervention

to improve sleep and other outcomes in hospitalized children, a new study using an effectiveness-implementation hybrid design is being conducted with collaborators from Seattle Children's Hospital.

Objective 3: Sleep, Health and Recovery

Methodological approach: To assess the role of sleep in lifestyle behaviours and recovery, we will use systematic reviews, cross-sectional, cohort and mixed-methods studies in a number of post-secondary student populations.

Example: A negative consequence of sleep disruption emerging in the literature is weight status. As the prevalence of obesity is increasing worldwide, the relationship between sleep and weight has become a topic of great interest, especially in university students who have consistently reported increased weight gain during their academic studies. Poor sleep quality and lack of physical activity have been linked to weight gain within this population. Clearly, sleep is fundamental to health and well-being. More work is needed to examine the links between sleep, physical activity, and nutrition within this population. We have been successful in obtaining funding from the Canadian Foundation for Dietetic Research to explore the relationships between sleep quality, eating behaviours and physical activity among universities. This study was an international collaboration with experts in Canada and the United States. Currently, Dr. Papaconstantinou is co-supervising a student from Rutgers University who is exploring the associations of perceived stress and eating behaviours and physical activities in women college students. Furthermore, an incoming Master's student will be investigating the sleep characteristics of varsity athletes, a population that is often overlooked. This will be a mixed-methods sequential study. We have submitted a grant to the Foundation of the Royal College Chiropractic Sports Sciences (Canada) to begin this work.

## Looking Ahead

Understanding the synergy between sleep characteristics and various health outcomes including functioning its effect in causing poor health outcomes will fill an important knowledge gap and inform the development of interventions to reduce the burden of poor sleep. In the next five years we will continue to:

   i.  Examine trajectories of sleep and pain and mental health from longitudinal studies and determine predictive factors.
   ii. Create digital sleep education modules for rehabilitation clinicians to screen and manage sleep problems in MSK pain populations.
  iii. Conduct sequential mixed methods study exploring sleep characteristics in varsity athletes and impact of recovery.
   iv. Conduct sequential mixed methods study exploring sleep characteristics of families with a child with Autism Spectrum Disorder and their siblings.

## Domain 5. DISABILITY JUSTICE THROUGH LEGAL and POLITICAL ADVOCACY

Domains 5 includes 3 research objectives.

*Objective 1:* Document histories of institutional violence.
Methodological approach: Oral history.
Example: *Recounting Huronia: A Participatory Arts-Based Research Project.* Persons with mental disability are more likely than their non-disabled counterparts to experience congregate living, which refers to settings where individuals live or stay overnight and use shared space. Examples include prisons, psychiatric facilities, emergency shelters, group homes, and long-term care homes. Persons with mental disability disproportionately experience congregate living due to their complex living needs, their heightened vulnerability to systemic impoverishment, and state underinvestment in supports that would enable community living. There is urgency, then, to research the congregate living conditions, policies, and practices that increase vulnerability to violence. Dr. Rinaldi's research collective has been successful in obtaining SSHRC and community-sourced funding in order to document survivor histories of ableist institutional violence. She has worked with scholars, graduate students, and impacted populations to showcase these histories on an open-access digital archive and through public speaking events across Canada. She has already published three research papers and one book on the subject, and an edited anthology is under development. The intention driving this research has been to empower persons with disability, to raise critical consciousness through public documentation, and to promote services and supports for living in a community.

Objective 2: Assess discrimination in healthcare contexts.
Methodological approach: Qualitative interviews and digital storytelling.
Example: *Through Thick and Thin: Investigating Body Image and Body Management among Queer Women in Southwestern Ontario.* Persons with disability have long faced discriminatory treatment rooted in cultural presumptions about disability. As examples, social constructions of disability have been linked to poor quality of life, limited decisional capacity, infantilization, social and economic burden, and public threat. These value judgments are entrenched even in healthcare settings and affect how medical practitioners treat their patients. Healthcare providers' discriminatory attitudes can result in mistreatment, misdiagnosis, mental distress, undue pressure (for instance, to consent to medical assistance in dying), and coerced action (for example, involuntary hospitalization and chemical restraint). Dr. Rinaldi has studied discrimination in the patient-practitioner encounter. As an example, in collaboration with Rainbow Health Ontario, she led a $75,000 project funded by Women's College Hospital. She used qualitative interviews and digital storytelling to investigate discrimination in healthcare settings, on the basis of various combinations of physical disability (to the extent that people can be "disabled by obesity"), mental disability (particularly disordered eating), and sexuality. This research resulted in the publication of five scholarly articles, the distribution of fact sheets, and the development and delivery of training modules for healthcare providers to address their unconscious bias.

Objective 3: Advance accessibility through technological innovation
Methodological approach: Participatory action research.

<u>Example:</u> *Bodies in Translation: Activist Art, Technology and Access to Life*. Meaningful integration of persons with disability into community settings is possible through the provision of effective and innovative accommodation supports. Canadian governments and employers have a legal and moral duty to accommodate persons with disability in order to prevent or redress disability-based discrimination. However, disability is not monolithic, which means that accommodation work can be complex. To that end, Dr. Rinaldi has contributed to the University of Guelph's ReVision Centre for Art and Social Justice, which holds a $2.5 million SSHRC Partnership Grant. The constellation of projects that use these grant funds facilitates participation in arts and culture by funding disabled artists, enacting an accessible curatorial practice, and using cutting-edge technologies to develop accommodations. Dr. Rinaldi has already worked with research centre colleagues and graduate students to publish two academic papers on this subject matter. This version of action research opens up possibilities for creative and collaborative approaches to universal design.

### Looking Ahead

The lived experience of persons with disability continues to drive social science research that takes as its purpose advocating for and enacting disability justice. In the next 5 years, we will focus our attention on:

i.   An oral history project that both documents the congregate living conditions persons with mental disability endure and makes recommendations in support of community living;

ii.  The qualitative study of disability-based discrimination in healthcare contexts, designed to produce outcomes that improve healthcare provision; and

iii. The development and advancement of accommodation support in research that takes as its object progressive social action.

*4.2.    Explain how the research activities align with Ontario Tech University's Strategic Research Plan.*

The proposed work conducted at the IDRR aligns perfectly with the Ontario Tech University's strategic research priority (Strategic Research Plan 2020-25): *"Healthy populations, community well-being and social justice".* The university is committed to creating sustainable and healthy communities by facilitating innovative research that enhances the capacities of local, national and global communities to thrive and grow in ways that are healthy and sustainable. As such, the IDRR will support ongoing collaborations and promote new partnerships between local, national and international knowledge users and faculty members engaged in the fields of health promotion, community and public health, social sciences, mental health and epidemiology. The IDRR will contribute to the implementation of the Strategic Research Plan 2020-25 by:

- *Conduct biopsychosocial research* in the field of disability and rehabilitation;
- *Prioritize public health and clinical research* to support the health and wellness of populations, the impact of health and social policy on people with disabilities, rehabilitation services, and compensation and health services system.
- *Intensify ongoing research* that brings together health and social sciences with an explicit focus on the pursuit of social justice;

- *Build a network of comprehensive research partnerships* with international national/provincial/local organizations invested in disability and rehabilitation.

IDRR's research program supports the Ontario Tech University Strategic Research Plan as follows:

- IDRR will play a lead role in *strengthening the FHSc's, FSSH's and the overall university's research capacity* in the area of disability and rehabilitation using innovative, interdisciplinary approaches. The FHSc, FHHS and CMCC have demonstrated research expertise in:1) Epidemiology of disability and rehabilitation; 2) Knowledge translation in disability and rehabilitation; 3) Disability and rehabilitation policies and practices; 4) Sleep, function and rehabilitation; and 5) Disability justice through legal and political advocacy. However, academics working in "silos" artificially divide research conducted in the health sciences from research in the social sciences and humanities. By bringing together faculty from the FHSc, FSSH and CMCC, the IDRR's research program will continue to be a catalyst for transdisciplinary research at Ontario Tech University.

- The IDRR will *provide new training opportunities for students*. Experiential learning has been a foundational principle of Ontario Tech University since its inception. In particular, faculty members have focused on student engagement in research at both the undergraduate and graduate levels. The proposed IDRR research programs will provide excellent training and powerful incentives for HQP to pursue graduate-level programs at both Ontario Tech University and CMCC. The work conducted in the IDRR will be an excellent forum to expose undergraduate and graduate students to interdisciplinary research as they will participate in research teams with individuals from diverse fields/areas of study and practice.

- *Through extensive regional, national, and international research networks, the IDRR faculty will provide expert knowledge related to disability and rehabilitation*. With an established track record in conducting studies of clinical and rehabilitative interventions, participatory action research and artistic research-creation, systematic reviews and clinical practice guidelines, cohort studies and interventions, and implementation science at the patient and population levels, faculty in the IDRR will build research capacities at multiple levels. The current research collaborations established by IDRR faculty extend well beyond Canada. For example, established networks involving researchers from the University of Guelph, Wilfrid Laurier University, York University, Ryerson University, Brock University, California State University, Northern Arizona University, University of Southern Denmark, New York University, the University of Bordeaux, the University of Oslo, the University of Alberta, Macquarie University and the University of Toronto have been established. It is anticipated that all of these institutions will collaborate on IDRR research programs thereby extending the visibility of Ontario Tech University and CMCC in these important areas. Furthermore, it is anticipated that CMCC's alumni and faculty, currently practicing in 43 countries, together with Ontario Tech University's extensive network of national and global research collaborations will contribute to the IDRR goals. Within Ontario Tech University, current and past collaborators include Drs. Ginny Brunton, Adam Dubrowski, Efrosini Papaconstantinou, David Rudoler, and Ellen Vogel from FHSc; Dr. Bill Kapralos from Faculty of Business and Information Technology; Drs. Robyn Kay, Jennifer Laffier and Bill Muirhead from the Faculty

of Education; Dr. Tyler Fredirick from the Faculty of Social Science and Humanities, and Ms. Olivia Petrie Assistant VP Student Life.

- *It will contribute to a culture of innovation at Ontario Tech University.* The past decade has established Ontario Tech University as a research-driven institution that meets national and international standards for excellence. While building on Ontario Tech University's growing reputation in the area of community-based health research, research in the IDRR will continue to expand new strategic research capacities for the interdisciplinary studies of population health/epidemiology, clinical research, and disability and law research in Canada and abroad. The IDRR research program, with its multi- and trans-disciplinary approaches and focus on informing evidence-based policies, will address current knowledge gaps while promoting healthy aging within our society. Through developing and sustaining academic-community research partnerships focused on disability and rehabilitation, the IDRR research program will continue to play a catalytic role in seeding multiple projects examining a variety of policy priorities of high relevance to knowledge users (government policymakers, regulators, insurers, employers, healthcare providers, and patients/ consumers). Finally, the IDRR research program will position Ontario Tech University, CMCC, and key community stakeholders as authorities on disability and rehabilitation research and enhance knowledge dissemination efforts nationally and globally focused on updated, evidence-based information. Building on Ontario Tech University's strengths in adopting new information and communication technologies for teaching and learning, subject experts will seek to involve key audiences through state-of-the-art interactive websites, public talks, policy forums, and media outreach. For example, an exciting new initiative at the IDRR is to develop and evaluate telesimulation approaches to train rehabilitation professionals to provide MSK rehabilitation virtually. This new initiative builds upon the strength of the collaboration between CMCC and Ontario Tech University as well as provides an opportunity to attract new PhD, Masters and Residents to learn and contribute to this emerging area of research. Furthermore, the multitude of partnerships involved in IDRR initiatives are consistent with the collaborative research and teaching culture successfully fostered across Ontario Tech University.

Ontario Tech University's priorities include innovative educational opportunities and training that align with this proposed IDRR and its research program. Another priority in the Ontario Tech University strategic research plan is to closely match research and knowledge creation with training opportunities to ensure students are skilled in areas of importance to Canadian health-related industries. The technical and professional skills the trainees will acquire in the proposed program, as well as the specific knowledge associated with the research undertaken by the trainees, are an exact fit in this regard. Upon completion of the program, the trainees will be able to transition into employment with the skills necessary to have an immediate impact. In short, the goals and objectives of the IDRR are completely aligned with the academic-research strategic priorities of Ontario Tech University, and therefore fully committed to its success.

The proposed research is also well aligned with four of the six major research domains of the FHSc: (i) Integrated approaches to the identification, understanding, prevention, and

management of chronic conditions and disabilities; (ii) Advancing the study of human health and movement through biological, clinical, and community research; (iii) Promoting health in vulnerable individuals and groups: personal, social, environmental, and global determinants of health; and (iv) Critically inquiring into the human health experience.

*Aligning with CMCC's Strategic Priorities:* The IDRR activities and plans also align with CMCC's Strategic Plan, specifically with the themes to position CMCC as a *global leader in musculoskeletal health* and *create a culture of innovation and entrepreneurship*. In fact, within the former theme, CMCC has specifically articulated a strategic objective to *"enhance the foundation, productivity and visibility of the CDPR"* (CMCC Strategic Plan 2017-2022, pg.39). The number of publications, submitted and received grants/contracts, and the impact of CDPR upon national and international policies are evidence of its measurable success in achieving and contributing to this objective.

In addition, the ongoing joint projects and collaboration between faculty from both institutions strongly align with another of CMCC's goals to "build and strengthen strategic partnerships with other institutions". The continued commitment of the IDRR to sustainable growth and inter-institutional collaboration is an exemplar of the benefits of community partnership.

*4.3.    Provide evidence for the long-term sustainability of the entity, including research activities that go beyond collaboration on a single project.*
The proposed IDRR will build on the success of the CDPR which has been a university leader in developing collaborations with external partners, external research funding, number of research personnel and trainees, and also boasts a most significant number of international collaborations. Researchers at the CDPR have collaborated with colleagues from sixteen Canadian and twenty-six international universities and, since its creation in 2012, have received more than $8.1 million in funding from international and national granting agencies, professional associations, and industry, as well as having published more than 200 papers in peer-reviewed scientific journals. Moreover, like the CDPR, the IDRR will continue to be the leading international training venue for the next generation of scientists and researchers in disability prevention and rehabilitation and provide a vibrant transdisciplinary training environment where trainees are exposed to epidemiology, biostatistics, qualitative research, knowledge translation and implementation research, and policy development. Trainees participate in a weekly research seminar, share common physical spaces, and have access to mentorship opportunities from experienced scientists. The IDRR's scientist's short bios are provided below:

*Dr. Pierre Côté* is an epidemiologist and Professor in the FHSc at Ontario Tech University. In 2013, he was awarded the Canada Research Chair in Disability Prevention and Rehabilitation (Tier 2). He is also appointed as Professor (Epidemiology) at the Dalla Lana School of Public Health at the University of Toronto and he is an Adjunct Professor in Disability Studies at Southern Denmark University. Côté obtained his PhD in epidemiology from the Department of Public Health Sciences – Faculty of Medicine, University of Toronto in 2002. In 2010, he reviewed and proposed modifications to the definition of catastrophic impairment related to traffic collisions for the Financial Services Commission of Ontario. More recently, he was mandated by the Government of Ontario to develop evidence-based Clinical Practice Guidelines for the management of traffic

injuries. In the past eight years, Côté has established a significant network of international collaborations that will benefit the proposed IDRR. Specifically, his involvement with the World Health Organization - WHO, Eurospine, Global Rehabilitation Alliance (an international alliance that aims to create a powerful advocacy platform to further the development of rehabilitation around the world) and Spine 20 (a think tank that aims to make recommendations to the G20 member states) will facilitate the transfer of new knowledge to policy. In 2020, he was responsible for writing the daily WHO COVID-19 Research Digest and he is a member of the WHO Development Group for programs of rehabilitation for low back pain. Côté also serves as Chair of the Methodological Working Group for Cochrane Collaboration which aims to standardize the reporting and conduct of randomized clinical trials in the field of rehabilitation. His current research focuses on the etiology, prognosis and management of disability related to musculoskeletal pain and mental health. He has expertise in the design and conduct of randomized clinical trials, cohort studies, case-control studies and systematic reviews. Professor Côté has published more than 280 scientific papers in peer-reviewed journals. His current Google Scholar h-index is 71, and his Scopus h-index is 56.

*Dr. Carol Cancelliere* is a clinical epidemiologist and the Canadian Chiropractic Research Foundation Research Chair in Knowledge Translation in the FHSc at Ontario Tech University. She is the project lead of the Canadian Chiropractic Guideline Initiative. She received her PhD in clinical epidemiology from the Institute of Health Policy Management and Evaluation (IHPME), Dana Lana School of Public Health, University of Toronto in 2017. The two main objectives of her research are to develop, adopt or adapt clinical practice guidelines relevant to caring for individuals with musculoskeletal conditions, and to conduct knowledge translation research and activities. Dr. Cancelliere includes field clinicians in all projects and activities in the spirit of integrated knowledge translation, so that the end products are relevant and useful to the target end-users, predominantly health care providers. She also regularly meets with stakeholders to communicate findings and receive input. Dr. Cancelliere is a member of the Canadian Traumatic Brain Injury Research Consortium, consisting of over 200 scientists across Canada working collaboratively on research projects to prevent traumatic brain injury and improve outcomes for individuals with traumatic brain injury. Dr. Cancelliere is collaborating with a WHO Task Force to develop a package of rehabilitation interventions for people with low back pain. She is also collaborating with members of Eurospine (European Spine Society) to determine the effectiveness and safety of post-surgical rehabilitation interventions for adults with low back pain.

*Dr. Silvano Mior* is a Professor and Director Research Partnerships and Health Policy at CMCC, and Senior Scientist in the Centre for Disability Prevention and Rehabilitation. He is an Adjunct Professor in the FHSc, Ontario Tech and an Assistant Professor in the Institute of Health Policy Management and Evaluation (IHPME), Dana Lana School of Public Health, University of Toronto (U of T). He completed his PhD in Health Services with a concentration on outcomes and evaluation at IHPME, U of T. He previously served as Senior Clinical Advisor in the Ministry of Health and Long-Term Care in Ontario, contributing to policy matters related to rehabilitation health professionals. Dr. Mior has participated in international and national committees establishing guidelines for quality assurance and standards of chiropractic practice; Ontario Workplace Safety and Insurance Board (WSIB) guidelines for the management of chronic pain in workers; expert panel member developing the

WHO ICF-based brief assessment schedule for manual therapy; World Federation of Chiropractic (WFC) committee developing global rehabilitation competencies for chiropractors; and member of the Core Scientific Team and Guideline Expert Panel developing guidelines for the management of minor traffic injuries in Ontario. He also represents the WFC at the annual general meeting of the WHO World Health Assembly. Dr. Mior's research interests are in the areas of clinical outcomes and program evaluation, health services, assessing models of interdisciplinary patient-centred collaborative practice, and understanding patients' experiences, expectations and safety in health care delivery. He brings to the IDRR experience in qualitative and mixed methods research, involving interdisciplinary international collaborations. Currently, Dr. Mior is a principal investigator of a demonstration project to develop, implement and evaluate a model of collaborative chiropractic care for the management of musculoskeletal conditions in Canadian Armed Forces personnel. He is collaborating with international colleagues to assess the effectiveness of post-surgical rehabilitation interventions for adults with low back pain, spinal manipulative therapy safety in seniors, and patient and athlete experiences of care.

*Dr. Efrosini Papaconstantinou* is an Associate Professor in the FHSc at Ontario Tech University, Faculty of Health Sciences, Nursing and a Scientist with the Center for Disability Prevention and Rehabilitation (CDPR). She holds a Bachelor of Science in Nursing degree and Master of Science (Clinical Health Sciences) degree from McMaster University, and a PhD (Nursing Science) from the University of Toronto. Dr. Papaconstantinou has distinguished herself as a unique nurse educator and researcher whose research has made important contributions to describing and improving sleep and health outcomes for various populations. Her program of research focuses on three overarching themes: 1) Sleep in Children (with various acute and chronic conditions and Neurodevelopmental disorders [NDD]); 2) Sleep and Mental Health (specifically depressive and anxiety symptomatology); and 3) Sleep and health-related behaviours (e.g., physical activity and eating behaviours). She is one of the very few nurse researchers in Canada to use actigraphy, an objective measure of sleep/wake patterns. Dr. Papaconstantinou was the recipient of the highly competitive SickKids Foundation Research Fellowship Award and the CIHR Team Research and Training Program: Sleep and Biological Rhythms. Dr. Papaconstantinou has established international collaborations mainly in the United States. She is an active member of the Athens Institute for Education and Research (ATINER) an independent world member-based association of academics and researchers.

*Dr. Jen Rinaldi* is an Associate Professor in Legal Studies in the FSSH at Ontario Tech University. Her research focuses on how non-normative bodies are read, marked, and produced in and through socio-legal discourse. She is committed to communities and embodiments that claim the following identifiers: cripped (or disabled, and especially persons deemed intellectually disabled), mad (persons positioned against and within mental health regimes), fat (bodies framed as obese and discriminated against in the interest of public health), queer and trans (persons who identify as members of LGBTQ+ communities). She is a dedicated member of the Recounting Huronia research collective. This work earned the collective a Community Living Ontario James Montgomerie Community Award in recognition of leadership and innovation in furthering Community Living goals. Rinaldi has co-written a book titled *Institutional Violence and Disability: Punishing Conditions* (Routledge, 2019). She was also the founder and lead coordinator of the

Huronia Survivors Speakers Bureau, which enabled intellectually disabled institutional survivors to tell their stories to audiences across Canada. Currently, Dr. Rinaldi is focused on research and activism related to deinstitutionalization, prison and police abolition, and migrant justice.

*Dr. Sheilah Hogg-Johnson* is a Professor at CMCC and an Associate Professor (Biostatistics, Epidemiology) in the Dalla Lana School of Public Health at the University of Toronto. She completed her Bachelor of Mathematics (Hon Statistics and Computer Science) and Master's of Mathematics (Statistics) at the University of Waterloo a very long time ago, and her PhD in biostatistics at the University of Toronto in 1991. Hogg-Johnson was a member of the scientific secretariat of the 2000 to 2010 Bone and Joint Decade Task Force on Neck Pain and its Associated Disorders, a large international collaboration aimed at synthesizing the scientific evidence on the problem of neck pain. She has been conducting and collaborating on research in the areas of work and health and musculoskeletal health for more than 25 years.

*Dr. Andrea Slane* is a Professor in Legal Studies at Ontario Tech University. Prior to joining Ontario Tech, she was Executive Director of the Center for Innovation Law and Policy at the University of Toronto, Faculty of Law. She received her Juris Doctor degree, with honours, from the University of Toronto in 2003, and was called to the Ontario bar in 2004. Dr. Slane practiced trademark, copyright, privacy and technology law at a large downtown law firm in Toronto before returning to academia in 2006. She holds a Ph.D. in Comparative Literature from the University of California in San Diego, and worked as an Assistant Professor in the Department of English at Old Dominion University in Norfolk, Virginia from 1995 to 2000. Her research focuses on law's interface with digital communication and information technologies, including the nature of privacy interests and appropriate limits to privacy protection; legal approaches to various forms of online and other digital exploitation of vulnerable people; and personality rights and other legal and policy methods to protect autonomy, dignity and identity. Her work and teaching centrally concerns the social impact of current and emerging information and communication technologies, and the legal and policy protections needed to ensure their safe, equitable and principled use. Dr. Slane uses a variety of methodologies in her research, including doctrinal legal analysis and qualitative social research methods that directly engage the affected technology users and other stakeholders. Three major SSHRC funded research projects are currently underway, each featuring interdisciplinary teams where Dr. Slane's role is to grapple with the legal and ethical issues raised by technology use in these domains: 1) anthropomorphic social support technologies being developed for and marketed to seniors (principal investigator); 2) online sexual harassment and exploitation, especially of children and youth (co-applicant); and 3) law enforcement use of image matching technologies (e.g. facial recognition), with a focus on developing meaningful public consultation processes to inform oversight of police procurement and use of investigative technologies (principal investigator).

*Dr. Ginny Brunton* is an Associate Professor of Nursing in the Faculty of Health Sciences at Ontario Tech University, an Adjunct Scientist in the Department of Health Research Methods, Evidence and Impact, Faculty of Health Sciences at McMaster University, and an Honorary Research Fellow of the Evidence for Policy and Practice Information and Coordinating (EPPI-) Centre, Department of Social Science, University College London. She is a trained Nurse and Midwife, and a Research

Methodologist. Her innovative work in systematic review methods with colleagues at the EPPI-Centre, London has been recognized and adopted by health and social researchers internationally. Dr. Brunton's program of research focuses on conducting mixed-methods systematic reviews related to public health policy; and on understanding community engagement in health research design, delivery and evaluation – in particular, the methods of engaging key stakeholders, including members of the public, in the conduct of systematic reviews. Dr. Brunton has co-developed and taught on University College London's Masters Program in Systematic Reviews for Evidence and Policy. She is a member of the Cochrane Qualitative and Implementation Methods Group, has presented her methods research at Cochrane Colloquia regularly for twenty-five years, and has published numerous systematic reviews in public health and evidence synthesis methods, including authoring a chapter in *Introduction to Systematic Reviews* (Sage, 2017). In 2020, she and colleagues from McMaster University were awarded the Association of Ontario Midwives' Excellence in Midwifery Research award for their systematic review and meta-analysis of birth outcomes related to planned home birth.

*Dr. Craig Jacobs* is the Director of Clinical Education and Patient Care at the Canadian Memorial Chiropractic College (CMCC) and oversees nine clinics throughout the GTA. Dr. Jacobs holds a Master's of Science from the Faculty of Medicine at the University of Toronto where he studied musculoskeletal injuries in professional dancers in international elite dance companies as well as conducted a systematic review of injuries in dancers. This is a special interest of his as he was previously a professional contemporary dancer with the Batsheva Dance Company in Tel Aviv, Israel. He was previously a primary clinician at CMCC's Clinic at Sherbourne Health where he worked with underserved populations in downtown east Toronto. He was a Clinical Research Coordinator for the CMCC/UOIT Centre for Disability Prevention and Rehabilitation and a Core Scientific Team Member for the Minor Injury Guideline Development Project conducted for the Government of Ontario. Dr. Jacobs maintains a clinical practice in Toronto. He is currently on the national leadership team and clinical quality committee for GLA:D Canada which is an evidence-based education and exercise program for the rehabilitation of people with osteoarthritis of the hip and knee. Dr. Jacobs was a certified Mental Health First Aid Instructor and from 2014 through 2019 and trained hundreds of students and staff in Mental Health First Aid at CMCC. Lastly, he works to promote Evidence-Based Practice skill development and is on the planning committee for the Process of Integrating Evidence Conference for Complementary and Integrative Health Educators.

*Dr. Ellen Vogel* is an Associate Professor in the FHSc at Ontario Tech University. She completed an undergraduate degree in Foods and Nutrition from the University of Manitoba in Winnipeg in 1975; a Master of Health Education degree from the University of Manitoba in 1985; and a PhD in Nutrition and Metabolism from the University of Alberta 2001. In 2003, she was awarded a postdoctoral fellowship from the Office of the Chief Scientist at Health Canada. She is a fellow with Dietitians of Canada; a past chair of the Dietitians of Canada's Board of Directors; and the recipient of numerous awards for leadership and innovation in dietetic practice. She is a founding faculty member at Ontario Tech, having arrived in 2002. In 2010, she was awarded a university-wide peer recognition award for teaching excellence. Since 2012, she contributed to projects at the CDPR, including the Ontario Tech University Mental Health and Wellness Study

and a qualitative study exploring chiropractic interprofessional care and the Canadian Forces Health Services.

*Dr. Bobby Stojanoski* is a cognitive neuroscientist and Assistant Professor in the FSSH at Ontario Tech University. He is also an Adjunct Research Faculty in the Department of Psychology at Western University. Dr. Stojanoski received his PhD cognitive neuroscience from the Department of Psychology at the University of Toronto. Following that, Dr. Stojanoski completed two postdoctoral fellowships at Western University, the first, examining the neural mechanisms underlying visual short-term memory and the second, examining the role of different life-style factors (e.g., sleep) on higher-level cognition across the adult life-span. Dr. Stojanoski has also conducted research identifying residual cognitive abilities in patients diagnosed with disorders of consciousness, are behaviourally unresponsive. Building on this work, Dr. Stojanoski's research program currently focuses on examining lifestyle influences, with a particular emphasis on sleep on brain, social and cognitive development in normative and clinical pediatric populations, specifically children and adolescents diagnosed with Autism. Dr. Stojanoski has used various neuroimaging techniques, including fMRI, EEG and fNIRS, to examine changes in brain function that coincide with sleep, cognitive (i.e., executive function) and social cognitive (i.e., theory of mind) development. Central to Dr. Stojanoski's research program is using digital and web-based tools and has recently designed an age-appropriate online cognitive battery for evaluating cognition in children and adolescence. Dr. Stojanoski has recently been awarded an NSERC Discovery Grant, a BrainsCAN grant (a competitive grant provided as part of Western University's Canada First Research Excellence Fund) and an SSHRC Explore grant, as well as establishing a network of national and international collaborators to develop his research program. Dr. Stojanoski has published 24 peer-reviewed articles (with 6 additional papers under review) in high-quality psychology, and cognitive neuroscience journals such as Human Brain Mapping, Neuropsychologia, Sleep, and Journal of Experimental Psychology: General. Moreover, Dr. Stojanoski's research has garnered considerable media attention where it has been featured in national and international magazines, and I have given more than 25 radio and television interviews across Canada.

## 5.    Student Involvement and Training
*5.1.    Explain the level and type of involvement of undergraduate or graduate students in the entity's activities. Describe the unique research and training opportunities that will arise as a result of the entity.*

Since 2012, faculty in the CDPR has attracted and trained seven post-doctoral fellows, of which three were international; eight PhD students; 14 Master's students and four undergraduate students at the Ontario Tech University; 22 CMCC post-graduate residents; and four international visiting students/researchers: Lina Palmlöf (PhD in epidemiology-Karolinska Institutet, Sweden); Oscar Pico-Espinosa (PhD in epidemiology-Karolinska Institutet, Sweden; Michaela Saugstrup (MSc in Chiropractic, University of Southern Denmark) and Paola Torres (visiting fellow from the San Cristobal Clinic, Santiago, Chile). All former post-doctoral fellows, PhD students and Master's students are employed in research institutions or pursuing further graduate education.

Figure 1 lists current research associates, students, faculty and adjunct faculty who participate in the CDPR. In addition, six of our Research Associates are currently either graduate students or residents and can access expert faculty.



| Research Associates | Graduate Students Masters | Graduate Students Cont'd PhD | Adjunct Professors (Ontario Tech) | Ontario Tech Faculty Collaborators |
|---|---|---|---|---|
| Gaelan Connell *(Contract)* | Aleisha Adeboyejo | Astrid DeSouza | Samuel Howarth (CMCC) | Ginny Brunton(FHSc) |
| Melissa Corso *(Contract)* | Alexandra Campbell | Heather Shearer | Silvano Mior (CMCC) | Adam Dubrowski (FHSc) |
| Diane Grondin *(Contract)* | Magdalena Albrecht-Bisset | Jessica Wong | Diane Grondin (CMCC) | Bill Kapralos (FBIT) |
| Heather Shearer *(Contract)* | Emma Grant | Fred Johansson | Linda Carroll (U of Alberta) | Robin Kay (FEd) |
| Danielle Southerst *(Contract)* | | Delphine Sorondo | Jan Hartvigsen (SDU) | Bill Muirhead (Fed) |
| Anne Taylor–Vaisey *(Contract)* | CMCC Residents | | David Cassidy (UofT) | Robert Power (FEd) |
| Leslie Verville *(Contract)* | David Oh | *Post-doctoral Fellow* | Margareta Nordin (NYU) | David Rudoler (FHSc) |
| Jessica Wong *(Contract)* | Ali Smith | Dan (Demi) Wang | Nadège Lemeunier (IFEC) | Winnie Sun (FHSc) |
| Hainan Yu *(Contract)* | Melissa Belchos | | Rachid Salmi | Ellen Vogel (FHSc) |
| | Stephanie Alexopulos | | (University of Bordeaux) | |
| | Joshua Plenar | | | |
| | Anser Abbas | | | |

April 2021

**Figure 1:** List of Research Associates, Graduate Students, Adjunct and Faculty Collaborators.

The transdisciplinary training philosophy developed at the CDPR since its inception will carry on at the IDRR by promoting equity, diversity and inclusion. Scientists at the IDRR are committed to providing students with equal opportunities to interact with diverse experts from various scientific and clinical specialties (e.g., biostatistics, sociology, medicine, physiotherapy, and education), knowledge users and policymakers. The setting in the IDRR will provide a collaborative, respectful, supportive training environment that fosters the development and success of all levels of students. Such an environment aims to inspire and supports an inclusive culture and eliminates systemic barriers and biases faced by students. Faculty are committed to continue recruiting Master's and PhD students, chiropractic residents and undergraduate students on a yearly basis, including post-doctoral fellows. All trainees have research space at the IDRR locations at both CMCC and OntarioTech University. All trainees have access to a network of peers and mentors from which they can learn and share formative experiences.

**Committed to future student training**. Graduate students who join the IDRR will develop knowledge and skills in epidemiological methods, systematic reviews, qualitative research and public policy. The training is grounded in a strong theoretical and methodological framework related to the application of the research to clinical care, public health practice and policy development. Trainees will learn to conceptualize and design research from a transdisciplinary and biopsychosocial perspective. This training will differentiate them from other graduate students and position them to have successful research careers. All graduate students will have teaching responsibilities and will be mentored by faculty in their approach to teaching.

Graduate students will be trained to write and publish scientific papers as well as prepare and submit research grants. They will present research findings at local and international conferences. Finally, trainees will participate in the weekly research seminar at the IDRR. This forum has proven to be very effective for trainees to develop critical thinking and effective communication skills by

presenting and discussing their research with researchers and professors. This provides a forum for methodological discussions, constructive feedback and a rich learning environment. Combined, all of these opportunities will lead to trainees with an exceptional level of applied knowledge in research design and conduct, accomplished within a research culture founded on the principles of equity, diversity and inclusion.

*5.2.    Describe the contribution, if any, to the development of new courses, seminars, or instructional programs in collaboration with the appropriate Faculty/ies.*
In 2018-2019, the CDPR scientists contributed to the development of a new graduate diploma in Work Disability Prevention (WDP) in the Faculty of Health Sciences. The WDP was collaboratively developed by CMCC and the Faculty of Health Sciences and focused on the uptake and implementation of new knowledge, understanding and preventing work disability and fostering "return to work" for practicing professionals working in health-related fields. The diploma was delivered online to allow students to "engage in active learning that is technology-enriched and practice-integrated". Although the addition of the graduate diploma in Work Disability Prevention expanded the Faculty of Health Sciences' offerings, registration was low and the program was and creates the potential opportunity to attract students into its graduate program and elevate the research intensiveness of the faculty.

Since its inception, the CDPR has hosted knowledge transfer and research events. These include:
- *UOIT-CMCC Research Day.* On June 18, 2013, the CDPR held the UOIT-CMCC Research Day. The event took place at CMCC and was attended by faculty members and students from both institutions. The keynote speaker for the event was Professor Margareta Nordin, Dr. Med. Sci. from New York University. Professor Nordin's lecture was entitled: *"From evidence to practice and policy; building a research team prepared to transfer research into practice."*
- *Care Pathways for Traffic Injury Management.* On April 14-15, 2018, the CDPR in partnership with CMCC held an educational conference entitled: Care Pathways for Traffic Injury Management. The purpose of the conference was to educate clinicians about the evidence-based management of traffic injuries. The research presented was conducted at the CDPR. Sixty-nine clinicians attended the weekend program.
- Global Summit on the Efficacy and Effectiveness of Spinal Manipulation for the Management of Non-musculoskeletal Disorders. On September 14-15, 2019, 50 international researchers met at CMCC in Toronto. Twenty-eight researchers were from North America, 14 from Europe and seven from Australia. In addition, 31 observers from various organizations and educational institutions from North America, Europe and Australia were present to observe the meeting. The outcome of the Global Summit was published in Chiropractic and Manual Therapies.

Looking ahead, the IDRR will consider the following initiative.

   i.    Create a joint FHSc-FSSH-CMCC undergraduate course in disability and rehabilitation course. This course will emphasize the health and social justice issues related to disability and rehabilitation.

ii.   Develop a graduate-level course in systematic reviews, incorporating philosophical and epistemological ways of knowing, community engagement in research, meta-analytic methods, mixed methods, overviews of reviews, rapid reviews and scoping review methods.

iii.  Establish a mentorship program to train Ontario Tech University and CMCC faculty and graduate students in the development of evidence-based policy.

iv.   Host a multi-sectoral meeting to engage disability and rehabilitation partners in the IDRR research agenda.

v.    Work with the World Health Organization - WHO to host the first Global Musculoskeletal Rehabilitation meeting to be held at the WHO headquarters in Geneva in February 2022.

vi.   Continue exploring the development of a proposal to develop a Virtual Rehabilitation Research Lab with the Faculty of Business and Information Technology and the Faculty of Education. Preliminary consultations with the Dean of the Faculty of Business and Information Technology (Dr. Michael Bliemel) and the Faculty of Education (Dr. Robin Kay) were favourable to the development of a Virtual Rehabilitation Research Lab.

vii.  Explore opportunities (in collaborations with colleagues from the Faculty of Engineering and Applied Sciences and Faculty of Science) to apply data mining and data analytics methods to study disability and rehabilitation.

viii. Explore partnership with the newly created Regional Centre for Dementia Care and Recovery (RCDCR). Preliminary discussions with Dr. Winnie Sun (Co-Research Chair of Regional Centre of Dementia Care and Recovery at Ontario Shores) suggest that collaborations in the field of cognitive rehabilitation research would benefit both the IDRR and RCDCR.

## 6.    Research Dissemination and Service Plan

*Describe any unique plans for dissemination of research, and/or how the research entity will provide service and impact programs and policies within Ontario Tech University and to the outside community.*

The IDRR is committed to Integrated Knowledge Transfer and will include a Research Domain dedicated to knowledge translation. This domain will continue to build on the first nine years of knowledge translation activities at the CDPR which involved knowledge users through 1) effective communication of research findings; 2) development of evidence-based interventions and 3) informing policy change. For example, experiences with knowledge users such as the World Health Organization, Ontario Government, the Financial Services Commission of Ontario, the Canadian Armed Forces, the World Federation of Chiropractic, the College of Chiropractors of British Columbia, AVIVA Canada and the Canadian Mental Health Association – Durham. Working with the Dean of the Faculty of Health Sciences, Dean of the Faculty of Social Sciences and Humanities, staff from the Offices of the Vice-President, External Relations and Advancement and the Vice-President Research, Innovation and International at Ontario Tech University, as well as the Vice-President Academic and faculty at CMCC to communicate the research results to knowledge users using institutional social media outlets (Facebook, Twitter), websites, bulletins and presentations.

The CDPR currently has its own website hosted at Ontario Tech University (https://cdpr.ontariotechu.ca/index.php) and its Twitter account (https://twitter.com/CSDPRResearch). These will be transferred and adapted to the new IDRR to maximize our visibility.

Research findings will be disseminated to the academic community through publications in peer-reviewed journals and at national and international scientific conferences. The results of the research are integrated into teachings at Ontario Tech University and CMCC. The IDRR will continue to facilitate communication with the community at large through its website and its social media outlets. As previously described, the research is conducted within an integrated knowledge translation (KT) framework that builds on the experience and expertise of stakeholders invested in the prevention and rehabilitation of disability. KT strategies such as stakeholder workshops and focus groups are used to refine the development of and interventions. These KT strategies were used during his first term as CRC and have proven invaluable in keeping stakeholders engaged and informing change.

## 7.    Membership List, CVs and Affiliations

*Provide the name, faculty (or institutional affiliation), Curriculum Vitae, and expected contribution of principal members. (Research entities shall not normally require the hiring of new full-time academic faculty. Each member, including the director, should hold an academic appointment at the university)*

As a consequence of the Institutions entering into a Memorandum of Agreement dated July 1, 2012, and a subsequent Collaboration Agreement dated June 26, 2014 (collectively, the "Agreements"), the CDPR implemented a strong organizational structure. The IDRR will use a similar structure and expand it to include the partnership with the Faculty of Social Sciences and Humanities, as well as establishing an Advisory Committee comprised of internationally renowned scientists and community stakeholders (Figure 2). Community engagement will be at the centre of the agreements between Ontario Tech University and CMCC are renewed on a 5-year rotating basis. Each partner institution acknowledges and agrees that it and any of its employees who are assigned to or perform work on behalf of the CDPR/IDRR are required to abide by all applicable institutional policies. This Governance document does not replace or supersede any such policies. All governance documents will be updated to reflect the new structure of the IDRR.
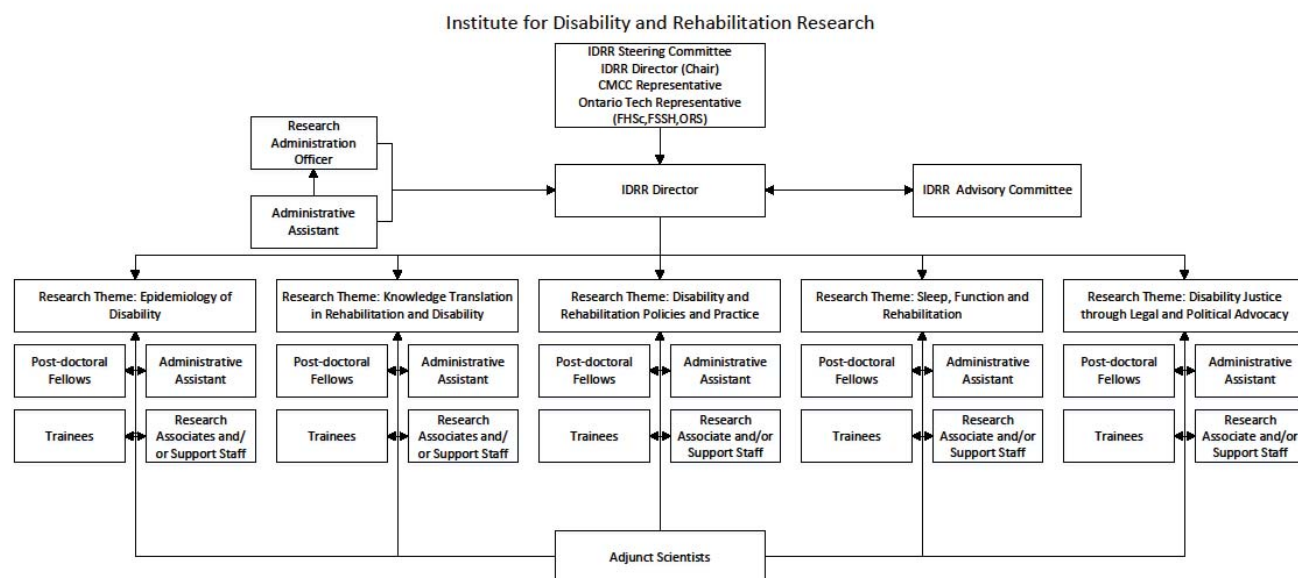
**Figure 2:** Organizational structure of the IDRR.

The structure, roles and responsibilities of members and administrative oversight are laid out in the existing CDPR Governance Document (Appendix B). All governance documents will be updated to reflect the new structure of the IDRR. Inspired by the structure of the CDPR, the Governance Document will establish the framework for the operation and administration of the IDRR. This Governance document is intended to clarify the rights, obligations, responsibilities and standards of conduct for each institution, Ontario Tech and CMCC. This Governance Document and related Standard Operating Procedures Manual (SOPs) (Appendix C) supplement and inform the terms and conditions set out in the Agreements. In the event a conflict or inconsistency arises between the terms of the Agreements and the Governance Document (including SOPs), the Agreement(s) shall take precedence and prevail.

There are five principal members of the IDRR, including the Director and Scientist, Dr. Pierre Côté, and four scientists, Dr. Carol Cancelliere, Dr. Silvano Mior, Dr. Efrosini Papaconstantinou, and Dr. Jen Rinaldi who are responsible for the research domains. Each core scientist is responsible for advancing research, seeking grants, and overseeing staff and faculty in their respective domains. The roles and responsibilities of the Director are clearly outlined in the attached governance document (Appendix B). Figure 2 outlines the organizational and administrative structure of the IDRR. The Curriculum Vitae of the scientists are provided in Appendix E.

As highlighted in examples of research provided herein, the scientists also collaborate closely with students, faculty and adjunct faculty from Ontario Tech University and CMCC, as well as leading experts and scientists from Canada and around the world. The benefits accrued by such collaborations extend not only to the IDRR but also to each institution by nature of their adjunct appointments. Figure 3 provides a summary of external collaborators working with IDRR personnel.

*External Collaborators*

Arthur Ameis (University of Montreal)*
Iben Axén (Karolinska University)
Marco Campello (New York University School of Medicine)*
Linda Carroll (University of Alberta)*
David Cassidy (University of Toronto)
Christine Cedraschi (Hôpitaux Universitaires de Genève)
Berit Schiøttz-Christensen (University of Southern Denmark)
Diana De Carvalho (Memorial University)
Katie de Luca (Macquarie University)
Simon French (Macquarie University)
Jan Hartvigsen (University of Southern Denmark)*
May Friedman (Ryerson University)
Karleen Pendleton Jimenez (Trent University)
Jake Pyne (York University)
Kate Rossiter (Wilfred Laurier University)

Cesar Hincapié (University of Zurich)
Greg Kawchuk (University of Alberta)
Peter Kent (Australia)
Alice Kongsted (University of Southern Denmark)
Nadège Leumeunier (France)*
Krystle Martin (Ontario Shores)
Sarah Munce (University Health Network)
Richard Nicol (Geneva)
Margareta Nordin (New York University)*
Rachid Salmi (University of Bordeaux)*
Mette Jensen Stochkendahl (University of Southern Denmark)
Nancy Viva Davis Halifax (York University)
Carla Rice (University of Guelph)
*Adjunct Appointments

**Figure 3:** List of external collaborators of the CDPR.

## 8.      Resource Requirements

*8.1.     Physical Requirements*

*8.1.1.   Explain the type, size and location of space desired, and how the desired space is appropriate to the proposed research entity's needs. Specific space commitments must be secured from the office of the Provost. Mention all special equipment or other requirements that have space implications.*

Ontario Tech University has committed substantial resources to a key strategic research pillar, Human Health and Community Wellness, recognizing this is an area of significance for societal impact in the Durham region and beyond. A foundational cornerstone for this was the establishment of the CDPR in 2012 and, closely following this, Dr. Côté's Canada Research Chair in Disability Prevention and Rehabilitation. In 2016, the CDPR moved from the North Campus to Ontario Tech University's St. Gregory's building. The construction of the new Health Sciences Building at the North Campus will allow the IDRR to be located on Ontario Tech University's main campus. This facility will provide space for CDPR research support staff, undergraduate and graduate students, post-doctoral fellows, and visiting scholars, as well as to accommodate community-based research meetings and data collection sessions with study participants.

In addition to the Oshawa location, the IDRR will have access to dedicated research space (90.7 m2) at CMCC's Toronto location. CMCC contributes about $30,000 per year in infrastructure funding and access to its facilities at 6100 Leslie St, North York. The offices at CMCC accommodate the IDRR administrative, support staff, research assistants, students and visiting scholars. In addition, CMCC provides faculty and post-doctoral financial support, including partial support for

Dr. Côté's salary. CMCC will also provide access to its library and its clinic to conduct joint research projects.

*8.1.2. Provide a complete list of all required resources and equipment including computers, phones, and copiers. Specify what internal resources (i.e. library, audio-visual) will be used and to what extent.*

No new resources or equipment will be required from Ontario Tech University. IDRR will continue to use the resources it has and continues to acquire. As in the past, any new resources required will be secured using funds from grants and contracts.

*8.2.      Staffing Requirements*

*8.2.1.   Explain any requirements for administrative, and/or technical personnel support from the University. List the following for each support staff member: Proposed Employer (University or Entity); Role or Duties;' Source of Compensation*

The staff at the IDRR will either be employed by Ontario Tech or CMCC. Each staff member is contracted and their salary is contingent on the grants held at CDPR. Support staff salary is secured using grant funds as per the current operational model. CDPR currently has 11 staff employed with secured research funding.

However, with regards to support services the following will continued to be required from Ontario Tech: Office of Research Services, Finance, Human Resources, IT, Faculty of Health Sciences and Faculty of Social Sciences and Humanities. Staff in these departments are all employees of Ontario Tech and would be paid from Ontario Tech. And from CMCC, administrative and technical support will be required from the following departments: Office of Research Administration, Office of the Vice President of Academics, and Departments of Communication, Finance, Human Resources, IT, and CMCC library. Similarly, staff in these support services areas are employees of CMCC and would be paid from CMCC.

*8.2.2.   For personnel within the research entity who are employees of external institutions or corporations and not employees of Ontario Tech University, provide copies of agreements outlining the obligations of both Ontario Tech University and the external institution or corporation.*

*8.3.      Budget and Financial Requirements*

8.3.1.   Prepare a detailed budget projection for the first five years of operation, including all sources of income, expected expenses/disbursements.

We have prepared a five-year draft budget for the next five years of the IDRR (See Appendix D.) Since 2012, the CDPR has functioned from the basic underlying principle of fiscal responsibility and sustainability. This will continue at the new IDRR. It has benefited from the infrastructure support of its facilities and post-doctoral and graduate students from each of the partnering institutions. In addition, it has benefitted from the funding of Dr. Côté's Canada Research Chair and Dr. Cancelliere's CCRF Research Chair funding, as well as Dr. Mior's research position at CMCC.

However, the funding for all other CDPR activity and personnel has come from research grants and contracts, all of which have contributed to the CDPR sustainability.

As per the current projected budget, current grants and contracts will ensure ongoing activity over the next 5 years. Each core scientist is responsible and committed to applying and secure funding for their respective research domain, independently or in collaboration.

A further strength of the IDRR is its Governance structure and accountability of all activities and budget to the Steering Committee, with representations from both institutions. The Steering Committee meets quarterly and is provided with an overview of all CDPR related activities, including its budget. This oversight ensures that the CDPR is fiscally responsible and held accountable for its annual budget. Research funds will not be overspent beyond the funding received. Each Principal Investigator with the help of the Research Administrative Officer will monitor and ensure fiscal responsibility.

In 2023, Dr. Côté will end the second and final term of his Canada Research Chair. Dr. Côté is currently exploring alternative research chair funding to ensure that he can continue dedicating time to directing the IDRR. This could be achieved through teaching releases from Ontario Tech University or being awarded another research chair. Failure to secure this funding would greatly limit Côté's ability to effectively direct the IDRR.

8.3.2.   Start-up funding may be available for the establishment of research entities. Justify your request for start-up funding.

The discussion will be initiated with the Deans of the FHSc and FSSH to obtain course releases for Drs. Côté and Rinaldi. No other funds are being requested.

8.3.3.   Provide a plan for the long-term financial sustainability, including external funding, of the Research Entity.

The IDRR will run on a "zero-based budget". All expenses are planned and managed according to carefully planned grant budgets. All grant budgets will be overseen by Poonam Cardoso Research Administration Officer at the new IDRR and managed in close collaboration with the Research Director and project Principal Investigator(s).

## 9.   Intellectual Property and Commercialization

As noted above, the existing CDPR Governance Document provides information that enables all involved parties to understand and comply with the legal, professional, and organizational requirements, expectations, and standards of conduct of the CDPR and its partner institutions. The same principles and practices will apply to the IDRR.

*9.1.     Describe any proposed arrangements with members (including members from external institutions) relating to the ownership and/or commercialization of intellectual property created through work undertaken at the Research Entity.*

Ownership and/or commercialization of intellectual property created in the course of work undertaken by members of the IDRR will be managed as described in the existing CDPR Governance document and joint agreement and governed by the respective policies of each institution.

*9.2.     Describe proposed arrangements for the conduct of private sector contract research.*
In the past, the CDPR has undertaken and is currently involved in private sector contract research. Arrangements for the conduct of such work are undertaken in collaboration and direction of the respective Office of Research of each partner institution, depending on the affiliation of the Principle researcher. All arrangements are made consistent with institutional policies and procedures.

## 10.     Summary
The Faculty of Health Sciences and the Faculty of Social Sciences and Humanities Ontario Tech University in partnership with CMCC have the opportunity to establish an institute that is truly unique in the world of disability and rehabilitation research. The IDRR will build on the success of the CDPR as a self-sustaining research entity that is supported by two partnering academic institutions. The national and international network created by the CDPR in the past nine years provides a solid platform for the IDRR to impact national and international evidence-informed policies in the field of disability and rehabilitation. The IDRR will also increase the academic visibility of Ontario Tech University and CMCC through its global reach with an organization such as the World Health Organization and Cochrane Rehabilitation.

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**ONTARIO TECH UNIVERSITY**
**Consolidated Financial Statements**
**Table of Contents**
**For the year ended March 31, 2021**

**ONTARIO TECH UNIVERSITY**
**Consolidated Statement of Financial Position**
**As at March 31, 2021**

| | | March 31, 2021 | | March 31, 2020 | | Variance |
|---|---|---|---|---|---|---|
| **Assets** | | | | | | |
| | | | | | | |
| Current assets: | | | | | | |
| Cash and cash equivalents  (Note 2) | $ | **53,127,071** | $ | 42,339,591 | $ | 10,787,480 |
| Short-term investments (Note 3) | | **-** | | 7,052,500 | | (7,052,500) |
| Grant receivable | | **12,658,992** | | 9,183,463 | | 3,475,529 |
| Other accounts receivable (allowance for doubtful | | **5,343,153** | | 8,543,271 | | (3,200,118) |
| accounts - $1,289,137; 2020 - $284,258) | | | | | | |
| Prepaid expenses and deposits | | **2,176,575** | | 2,270,296 | | (93,721) |
| Inventories | | **5,131** | | 57,736 | | (52,605) |
| | | **73,310,922** | | 69,446,857 | | 3,864,065 |
| | | | | | | |
| Investments (Note 4) | | **31,947,275** | | 26,137,454 | | 5,809,821 |
| Other investments (Note 5) | | **(189,539)** | | - | | (189,539) |
| Other assets (Note 6) | | **2,000,007** | | - | | 2,000,007 |
| Capital assets (Note 7) | | **405,978,815** | | 396,612,877 | | 9,365,938 |
| **Total assets** | $ | **513,047,480** | $ | 492,197,188 | $ | 20,850,292 |
| | | | | | | |
| **Liabilities and Net Assets** | | | | | | |
| | | | | | | |
| Current Liabilities: | | | | | | |
| Accounts payable and accrued liabilities (Notes 8 and 15) | $ | **32,995,232** | $ | 27,506,321 | $ | 5,488,911 |
| Deferred revenue (Note 9) | | **28,244,367** | | 22,206,208 | | 6,038,159 |
| Current portion of other long-term debt (Note 10) | | **124,683** | | 124,398 | | 285 |
| Current portion of obligations under capital lease (Note 11) | | **913,057** | | 780,186 | | 132,871 |
| Current portion of long-term debenture debt (Note 12) | | **6,985,660** | | 6,562,273 | | 423,387 |
| | | **69,262,999** | | 57,179,386 | | 12,083,613 |
| | | | | | | |
| Other long-term debt (Note 10) | | **176,842** | | 301,526 | | (124,684) |
| Long-term portion of obligations under capital lease (Note 11) | | **35,260,768** | | 36,173,825 | | (913,057) |
| Long-term debenture debt (Note 12) | | **144,557,828** | | 151,543,488 | | (6,985,660) |
| Deferred capital contributions (Note 13) | | **161,007,867** | | 162,196,325 | | (1,188,458) |
| | | **410,266,304** | | 407,394,550 | | 2,871,754 |
| | | | | | | |
| **Net Assets** | | | | | | |
| | | | | | | |
| Unrestricted | | **1,230,263** | | 4,503,900 | | (3,273,637) |
| Invested in capital assets (Note 16) | | **57,073,574** | | 39,173,784 | | 17,899,790 |
| Internally restricted (Note 17) | | **20,127,039** | | 17,588,839 | | 2,538,200 |
| Endowments (Note 18) | | **24,350,300** | | 23,536,115 | | 814,185 |
| | | **102,781,176** | | 84,802,638 | | 17,978,538 |
| Contingencies and Contractual Commitments (Note 20) | | | | | | |
| Guarantee (Note 21) | | | | | | |
| Financial instrument risks (Note 22) | | | | | | |
| **Total liabilities and Net Assets** | $ | **513,047,480** | $ | 492,197,188 | $ | 20,850,292 |

*See accompanying notes to the consolidated financial statements*

Approved by:

**ONTARIO TECH UNIVERSITY**
**Consolidated Statement of Operations**
**For the year ended March 31, 2021**

|  | 2021 | 2020 | Variance |
|---|---|---|---|
| **REVENUE** | | | |
| Grants - operating and research (Note 14) | $ 79,858,276 | $ 75,291,973 | $ 4,566,303 |
| Grants - debenture (Note 12) | 13,500,000 | 13,500,000 | - |
| Donations | 2,809,372 | 1,865,031 | 944,341 |
| Student tuition fees | 79,533,170 | 77,110,475 | 2,422,695 |
| Student ancillary fees | 11,742,375 | 14,455,394 | (2,713,019) |
| Revenues from purchased services (Note 15) | 231,084 | 3,264,721 | (3,033,637) |
| Other income | 10,533,381 | 14,093,323 | (3,559,942) |
| Amortization of deferred capital contributions (Note 13) | 9,612,290 | 9,559,062 | 53,228 |
| Interest revenue | 1,131,979 | 1,585,822 | (453,843) |
| Unrealized gain/(loss) on investments | 4,947,519 | (2,356,163) | 7,303,682 |
| | 213,899,446 | 208,369,638 | 5,529,808 |
| **EXPENSES** | | | |
| Salaries and benefits | 113,242,751 | 114,363,321 | (1,120,570) |
| Student aid, financial assistance and awards | 12,719,669 | 12,839,158 | (119,489) |
| Supplies and expenses | 23,280,870 | 30,760,072 | (7,479,202) |
| Purchased services (Note 15) | 11,691,399 | 14,051,255 | (2,359,856) |
| Interest expense - debt obligations | 12,843,504 | 13,306,043 | (462,539) |
| Interest expense - other | 86,544 | 136,784 | (50,240) |
| Amortization of capital assets | 23,090,067 | 23,751,966 | (661,899) |
| Professional fees | 1,282,451 | 1,639,964 | (357,513) |
| Loss on other investments | 189,639 | - | 189,639 |
| Loss on disposal of assets | 327,862 | 77,809 | 250,053 |
| | 198,754,756 | 210,926,372 | (12,171,616) |
| **Excess of revenue over expenses / expenses over revenue** | $ 15,144,690 | $ (2,556,734) | $ 17,701,424 |

*See accompanying notes to the consolidated financial statements*

**ONTARIO TECH UNIVERSITY**
**Consolidated Statement of Changes in Net Assets**
**As at March 31, 2021**

| | Unrestricted | Invested in Capital Assets (Note 16) | Internally Restricted (Note 17) | Endowments (Note 18) | Total 2021 | Total 2020 |
|---|---|---|---|---|---|---|
| **Balance – Beginning of Year** | $ **4,503,900** | $ **39,173,784** | $ **17,588,839** | $ **23,536,115** | $ **84,802,638** | $ 85,838,659 |
| Excess / (deficiency) Revenue over Expenses | 28,622,467 | (13,477,777) | - | - | 15,144,690 | (2,556,734) |
| Interfund Transfer - Endowment | - | - | (135,337) | 135,337 | - | - |
| Interfund Transfer | (2,673,537) | - | 2,673,537 | - | - | - |
| Investment in Capital Assets | (29,222,567) | 29,222,567 | - | - | - | - |
| Endowment Contributions | - | - | - | 678,848 | 678,848 | 1,520,713 |
| Donation of assets | - | 2,155,000 | - | - | 2,155,000 | - |
| **Net changes during the year** | **(3,273,637)** | **17,899,790** | **2,538,200** | **814,185** | **17,978,538** | **(1,036,021)** |
| **Balance – End of Year** | $ **1,230,263** | $ **57,073,574** | $ **20,127,039** | $ **24,350,300** | $ **102,781,176** | $ 84,802,638 |

*See accompanying notes to the consolidated financial statements*

**ONTARIO TECH UNIVERSITY**
**Consolidated Statement of Cash Flows**
**As at March 31, 2021**

| | March 31, 2021 | March 31, 2020 |
|---|---|---|
| **NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES** | | |
| | | |
| **OPERATING** | | |
| Excess of revenue over expenses | $ **15,144,690** | $ (2,556,734) |
| Items not affecting cash: | | |
|   Amortization of capital assets | **23,090,067** | 23,751,966 |
|   Amortization of deferred capital contributions | **(9,612,290)** | (9,559,062) |
|   Unrealized (gain)/loss on investments | **(4,947,519)** | 2,356,163 |
|   Loss on other investments | **189,639** | - |
|   Loss on disposal of assets | **327,862** | 77,809 |
|   Life insurance policy | **(1,594,872)** | - |
| | **22,597,577** | 14,070,142 |
| | | |
| Working capital: | | |
|   Grant and other accounts receivable | **(275,411)** | (1,826,010) |
|   Prepaid expenses and deposits | **93,721** | (103,546) |
|   Inventories | **52,605** | 75,608 |
|   Accounts payable and accrued liabilities | **5,488,911** | (2,107,717) |
|   Deferred revenue | **6,038,159** | 1,906,343 |
| | **33,995,562** | 12,014,820 |
| | | |
| **INVESTING** | | |
| Purchase of capital assets | **(29,799,566)** | (28,535,264) |
| Proceeds on disposal of capital assets | **130,699** | 189,832 |
| Investments | **6,190,098** | 8,187,340 |
| Other assets | **(405,135)** | - |
| | **(23,883,904)** | (20,158,092) |
| | | |
| **FINANCING** | | |
| Repayment of long-term debt | **(6,686,672)** | (6,288,685) |
| Endowment contributions | **678,848** | 1,520,713 |
| Repayment of obligations under capital leases | **(780,186)** | (642,338) |
| Deferred capital contributions | **7,463,832** | 10,656,184 |
| | **675,822** | 5,245,874 |
| | | |
| **NET CASH INFLOW / (OUTFLOW)** | **10,787,480** | (2,897,398) |
| | | |
| **CASH & CASH EQUIVALENTS BALANCE, BEGINNING OF YEAR** | **42,339,591** | 45,236,989 |
| | | |
| **CASH & CASH EQUIVALENTS BALANCE, END OF YEAR** | $ **53,127,071** | $ 42,339,591 |
| | | |
| | | |
| **SUPPLEMENTARY CASH FLOW INFORMATION** | | |
| Interest paid | $ **13,036,906** | $ 13,485,807 |
| Life insurance policy | $ **1,594,872** | - |
| Donation of building | $ **960,000** | - |
| Donation of land | $ **2,155,000** | - |

*See accompanying notes to the financial statements*

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

University of Ontario Institute of Technology (the "University") was incorporated without share capital under the University of Ontario Institute of Technology Act which received Royal assent on June 27, 2002. The objectives of the University, as well as the powers of the Board of Governors and the Academic Council, are defined in the Act.

The University is a market-oriented University integrating inquiry, discovery and application through excellence in teaching, learning and value-added research. The University is a degree granting and research organization offering graduate and undergraduate education. The University is a registered charity under Section 149 of the Income Tax Act and is, therefore, exempt from income taxes.

On March 27, 2019, the University launched its brand name and now operates as "Ontario Tech University".

1.     **SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES**

     *(a) Basis of presentation*

          The University follows Canadian Accounting Standards for Not-for-Profit Organizations ("ASNPO") in Part III of the Chartered Professional Accountants of Canada ("CPA") Handbook. Except for Ontario Tech Talent, these consolidated financial statements reflect the assets, liabilities, net assets, revenue and expenses of all the operations controlled by the University.

          On March 10, 2020, Ontario Tech Talent was incorporated as a separate legal entity with a fiscal year ended March 31st.   Its purpose is to provide students and new graduates with opportunities to enhance their job readiness skills and improve employment prospects, and also to help alumni and community members remain current in the ever-changing job market by providing reskilling and upskilling.  Ontario Tech Talent is controlled by the University and its financial results to March 31, 2021 are accounted for using the equity method, whereby the investment is carried in the University's financial statements initially at cost, and includes the share of earnings or loss.

          These consolidated financial statements do not reflect the assets, liabilities, and results of operations of the various student organizations as they are not controlled by the University.

     *(b) Revenue recognition*

          The University follows the deferral method of accounting for contributions, which includes donations and government grants.

          Operating grants are recorded as revenue in the year to which they relate. Grants earned but not received at the end of an accounting year are accrued. When a portion of a grant relates to a future period, it is deferred and recognized in that subsequent period.

          Student fees are recognized as revenue when courses are provided.

          Student tuition fees are deferred to the extent that related courses extend beyond the fiscal year of the University.

Agenda Item 8.1

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)**

Unrestricted contributions are recognized as revenue when received or receivable if the amount to be received can be reasonably estimated and collection is reasonably assured.

Externally restricted contributions for purposes other than endowment are deferred and recognized as revenue in the year in which the related expenses are incurred. Pledged donations are not recorded until received due to the uncertainty involved in their collection.

Life insurance policy donation which is owned by the University and for which it is the named beneficiary, is recognized as revenue at the cash surrender value in the year in which it is received, with adjustments each year thereafter in accordance with the policy cash surrender value increases.

Endowment contributions are reported as direct increases in net assets when received.

Other operating revenues are deferred to the extent that related services provided, or goods sold, are rendered or delivered subsequent to the end of the University's fiscal year.

Investment income related to restricted spending is deferred. Investment income without restrictions is recognized when earned.

*(c) Cash and cash equivalents*

Cash equivalents consist of highly liquid investments having terms to maturity on acquisition of three months or less, and are readily convertible to cash on short notice and are recorded at market value.

*(d) Financial instruments*

Financial instruments are recorded at fair value on initial recognition. Freestanding derivative instruments that are not in a qualifying hedging relationship and equity instruments that are quoted in an active market are subsequently measured at fair value. All other financial instruments are subsequently recorded at cost or amortized cost.

Transaction costs incurred on the acquisition of financial instruments measured subsequently at fair value are expensed as incurred. All other financial instruments are adjusted by transaction costs incurred on acquisition and financing costs, which are amortized using the straight-line method.

Financial assets are assessed for impairment on an annual basis at the end of the fiscal year if there are indicators of impairment. If there is an indicator of impairment, the University determines if there is a significant adverse change in the expected amount or timing of future cash flows from the financial asset. If there is a significant adverse change in the expected cash flows, the carrying value of the financial asset is reduced to the highest of the present value of the expected cash flows, the amount that could be realized from selling the financial asset or the amount the University expects to realize by exercising its right to any collateral. If events and circumstances reverse in a future period, an impairment loss will be reversed to the extent of the improvement, not exceeding the initial carrying value.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

1. **SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)**

   *(e) Long-term debt*

   The University carries long-term debt at amortized cost.

   *(f) Inventories*

   Inventories are valued at the lower of cost and net realizable value. Cost is determined on a first-in, first-out basis.

   *(g) Capital assets*

   Purchased capital assets are recorded at cost less accumulated amortization. Contributed capital assets are recorded at fair value at the date of contribution when fair value is reasonably determinable. Otherwise, contributed assets are recorded at a nominal amount. Betterments, which extend the estimated useful life of an asset, are capitalized. When a capital asset no longer contributes to the University's ability to provide services, its carrying amount is written down to its residual value. Capital assets are amortized on a straight-line basis over their useful lives, which have been estimated to be as follows:

   | | |
   |---|---|
   | Buildings | 15 – 40 years |
   | Building renovations and major equipment | 10 years |
   | Leasehold improvements | over lease term |
   | Parking | 20 years |
   | Furniture and fixtures | 5 years |
   | Laptops | 2 – 4 years |
   | Computer equipment and vehicles | 3 years |
   | Capital leases | over economic life of assets |

   Capital assets acquired during the financial year are amortized at half of the applicable rate. Construction-in-progress represents assets not yet available for use, therefore amortization commences when the project is complete.

   Costs for the new A5 building currently under construction, are being allocated to its separable component parts with differing estimated useful life. Amortization of the separable components will start upon completion of the construction and occupancy of the building, expected to be in September 2021.

   *(h) Deferred capital contributions*

   Contributions received for capital assets are deferred and amortized over the same term and on the same basis as the related capital assets.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

1. **SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)**

   *(i)  Contributed goods and services*

   The University receives a number of contributed goods and services from individuals, corporations and community partners.  Because of the difficulty in determining the fair value, contributed services are not recognized in the Consolidated Financial Statements.  Contributed goods which are measurable and would have otherwise been purchased for use in the normal course of operations, are recognized in the Consolidated Financial Statements.

   *(j)  Use of estimates*

   The preparation of Consolidated Financial Statements requires management to make estimates and assumptions that affect the reported amount of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the Consolidated Financial Statements, and the reported amounts of revenue and expenses during the year. Significant estimates includes the carrying value of capital assets.  Actual results could differ from these estimates.

2. **CASH AND CASH EQUIVALENTS**

   |                                                   |    | **2021**       |    | 2020           |
   | ------------------------------------------------- | -- | -------------- | -- | -------------- |
   | Bank of Montreal, cash balances                   | $  | **45,316,861** | $  | 22,938,173     |
   | BMO Nesbitt Burns high interest savings account   |    | **7,196,840**  |    | 18,605,727     |
   | Royal Bank of Canada, cash balances               |    | **5,177**      |    | 6,556          |
   | Harris Bank, cash balances                        |    | **506,348**    |    | 461,370        |
   | Other, balances                                   |    | **101,845**    |    | 327,765        |
   |                                                   | $  | **53,127,071** | $  | 42,339,591     |

   The University has a credit facility agreement with a Canadian chartered bank, which provides for a revolving operating line of credit up to $17,000,000, bearing interest at prime plus 0.25%.  At March 31, 2021, the University utilized, on a cash consolidated basis, nil (2020 - nil) of the operating line of credit.

   On January 7, 2021 the University entered into a credit facility agreement with a Canadian chartered bank, which provides for a construction non-revolving term facility of $25,000,000 by way of a bankers' acceptance loan plus a credit spread of 0.49%.   The University will commence drawing down on this loan in May 2021.

   The construction loan is fully repayable on September 30, 2021 as which time the University will enter into a 25-year bankers' acceptance loan hedged with an interest rate swap facility for the long-term financing of the new A5 building, at a fixed swap rate of 2.59% plus a credit spread of 0.49%.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

### 3. SHORT-TERM INVESTMENTS

Short-term investments are NIL (2020 - $7,052,500) as balances at BMO Nesbitt Burns are currently invested in a high interest savings account and therefore accounted for as cash and cash equivalents.

### 4. INVESTMENTS

| | 2021 | | 2020 | |
|---|---|---|---|---|
| | **Cost** | **Fair Value** | Cost | Fair Value |
| Equities | $ **17,385,678** | $ **21,365,171** | $ 16,898,745 | $ 16,299,624 |
| Fixed income | **10,083,684** | **10,165,176** | 9,200,627 | 9,281,327 |
| Money Market/Cash | **416,928** | **416,928** | 556,503 | 556,503 |
| | $ **27,886,290** | $ **31,947,275** | $ 26,655,875 | $ 26,137,454 |

Financial instrument risks are disclosed in Note 22, under "Financial instruments and related risks".

### 5. OTHER INVESTMENTS

Other investments comprise of a wholly owned investment in Ontario Tech Talent. Investment as at March 31, 2021 is a loss of $189,539 (2020 – NIL) which includes the initial investment in Ontario Tech Talent of 100 shares valued at $100, net of the loss in the current year of $189,639 (2020 – NIL).

Financial information from Ontario Tech Talent's financial statements are as follows:

| | 2021 | 2020 |
|---|---|---|
| Total assets | $ **340,040** | $ 100 |
| Total liabilities | **529,579** | - |
| Shareholders' equity | | |
| - 100 common shares | **100** | 100 |
| - Net loss for the year | **(189,639)** | - |
| | $ **340,040** | $ 100 |
| Results of operations: | | |
| Total revenue | **2** | - |
| Total expenses | **189,641** | - |
| Net loss | $ **(189,639)** | $ - |

Included in the total liabilities of Ontario Tech Talent is a related party transaction of $405,135 (2020 – NIL), representing the draw of a credit facility with the University to fund the start-up costs of Ontario Tech Talent. Interest on this credit facility is at prime rate plus 0.25%.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**6.  OTHER ASSETS**

Included under "Other assets" is the donation of a life insurance policy the University received in July 2020.  This policy, for which the University is the named beneficiary, is recorded at the cash surrender value of $1,594,872.

**7.  CAPITAL ASSETS**

Capital assets consist of:

| | Cost | Accumulated Amortization | Net Book Value | Net Book Value |
|---|---|---|---|---|
| | | **2021** | | 2020 |
| Land | $ 10,286,815 | $ - | $ 10,286,815 | $ 8,131,815 |
| Buildings | 425,652,694 | 142,191,174 | 283,461,520 | 293,246,937 |
| Building renovations | 31,780,946 | 22,170,071 | 9,610,875 | 10,707,639 |
| Leasehold improvements | 3,541,889 | 1,868,643 | 1,673,246 | 1,803,960 |
| Parking | 1,299,410 | 244,790 | 1,054,620 | 1,119,591 |
| Furniture and fixtures | 19,985,762 | 17,730,324 | 2,255,438 | 2,832,780 |
| Laptops | 12,937,770 | 12,067,257 | 870,513 | 1,663,572 |
| Vehicles | 288,467 | 196,910 | 91,557 | 86,345 |
| Computer equipment | 22,462,556 | 19,260,661 | 3,201,895 | 3,752,276 |
| Major equipment | 80,367,904 | 64,251,772 | 16,116,132 | 19,409,669 |
| Construction-in-progress | 46,457,945 | - | 46,457,945 | 22,284,707 |
| | $ 655,062,158 | $ 279,981,602 | $ 375,080,556 | $ 365,039,291 |
| **Assets under capital leases:** | | | | |
| Land | 2,300,000 | - | 2,300,000 | 2,300,000 |
| Buildings | 35,689,192 | 7,090,933 | 28,598,259 | 29,273,586 |
| Total | $ 693,051,350 | $ 287,072,535 | $ 405,978,815 | $ 396,612,877 |

Included in land and buildings are the donations of specific assets to the University:  in the current fiscal year 2021 (Land $270,000 and Buildings $960,000) and in 2010 (Land $300,000 and Buildings $1,550,000).  Donated assets other than non-depreciables such as land, are amortized as per note 1(g) under "Significant accounting policies and disclosures".

In addition, on July 24, 2020, the University entered into a land exchange agreement with the City of Oshawa.  The appraised fair market value of the City of Oshawa property is $6,250,000 and that of the University is $4,365,000.   The net difference of $1,885,000 in the fair market values of the respective properties is included in land.

Amortization of assets under capital leases for the current year totaled $675,327 (2020 - $675,327).

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

8.   **ACCOUNTS PAYABLE AND ACCRUED LIABILITIES**

Included in accounts payable and accrued liabilities are government remittances payable of $181,166 (2020 – $177,045).

9.   **DEFERRED REVENUE**

Deferred revenue represents revenues related to expenses of future periods. The balance comprised the following:

|  | | **2021** | | 2020 |
|---|---|---|---|---|
| Tuition | $ | **9,380,653** | $ | 8,027,877 |
| Research | | **10,028,107** | | 8,321,859 |
| Donations | | **3,254,554** | | 2,587,092 |
| Ancillary fees | | **995,207** | | 1,097,889 |
| Other | | **4,585,846** | | 2,171,491 |
| | $ | **28,244,367** | $ | 22,206,208 |

10.   **OTHER LONG-TERM DEBT**

The University has incurred debts in the amount of $301,525 through third parties related to improvements in our downtown locations. Other long-term debt comprised the following:

|  | | **2021** | | 2020 |
|---|---|---|---|---|
| Unsecured loans, payable monthly/ annually over a period of 1 - 21 years and at interest rates ranging from 0% to 9.3% | | **301,525** | | 425,924 |
| | $ | **301,525** | $ | 425,924 |

Total principal repayments in each of the next five years and thereafter for other long-term debt are as follows:

| | | |
|---|---|---|
| 2022 | $ | 124,683 |
| 2023 | | 3,533 |
| 2024 | | 3,876 |
| 2025 | | 4,252 |
| 2026 | | 4,665 |
| Thereafter, through 2042 | | 160,516 |
| | | 301,525 |
| Less: current portion | | 124,683 |
| | $ | 176,842 |

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

10.    **OTHER LONG-TERM DEBT (continued)**

The fair value of the other long-term debt is approximately $452,000 (2020 - $556,000).  Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

11.    **OBLIGATIONS UNDER CAPITAL LEASES**

The University entered into capital leasing arrangements on two properties in downtown Oshawa to accommodate the growth in student population. Capital lease repayments are due as follows:

| | |
|---|---:|
| 2022 | $    3,931,876 |
| 2023 | 3,960,219 |
| 2024 | 3,988,846 |
| 2025 | 4,017,759 |
| 2026 | 4,112,219 |
| Thereafter, through 2041 | 53,359,700 |
| Total minimum lease payments | 73,370,619 |
| Less: amount representing interest at | |
| rates ranging from 6.50% to 9.30% | 37,196,794 |
| Present value of net minimum capital | |
| lease payments | 36,173,825 |
| Less: current portion of principal obligations | 913,057 |
| | $    35,260,768 |

Interest of $3,081,277 (2020 - $3,132,050) relating to capital lease obligations has been included in interest expense.   The total cost of assets under capital leases is $37,989,192 (2020 - $37,989,192) with related accumulated amortization of $7,090,933 (2020 - $6,415,606).

The fair value of the capital leases is approximately $36,670,000 (2020 - $38,683,000).   Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

## 12. LONG-TERM DEBENTURE DEBT

On October 8, 2004, the University issued Series A Debentures in the aggregate principal amount of $220,000,000. These debentures bear interest at 6.351%, payable semi-annually on April 15 and October 15, with the principal due in 2034. The proceeds of the issuance were used to finance capital projects including the construction of three Academic Buildings, a Library and related infrastructure. These debentures are secured by all assets of the University and are guaranteed by Durham College.

The debt is funded through special one-time grants from the Ministry of Colleges and Universities ("MCU"), and by the University's operating funds.

On August 12, 2011, an agreement was signed between the University and MCU whereby the Ministry shall pay the University $13,500,000 each year in equal semi-annual payments of $6,750,000 in April and October to fund the repayment of the debentures. The agreement took effect on April 1, 2011 and the grant will continue until the maturity of the debentures in October 2034.

Total principal and interest paid on the debenture to March 31, 2021 is $264,016,094 (2020 - $247,515,088), $209,987,712 funded by MCU and $54,028,382 funded by the University.

As at March 31, 2021, $217,431,043 (2020 - $217,431,043) had been used to finance capital assets.

Total principal repayments for debenture debt are as follows:

| | |
|---|---:|
| 2022 | $ 6,985,660 |
| 2023 | 7,436,364 |
| 2024 | 7,916,146 |
| 2025 | 8,426,883 |
| 2026 | 8,970,572 |
| Thereafter, through 2034 | 111,807,863 |
| Total minimum payments | 151,543,488 |
| Less: current portion | 6,985,660 |
| | $ 144,557,828 |

The fair value of the long-term debenture debt is approximately $187,866,000 (2020 - $194,294,000). Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

### 13. DEFERRED CAPITAL CONTRIBUTIONS

Deferred capital contributions represent the unamortized amount of contributions, including grants and donations, for the investment in capital assets.

On October 30, 2020, the University signed an agreement with the Ontario Tech Student Union (OTSU), whereby the OTSU will pay the University a one-time fee of $5,000,000 for the construction, use and occupation of the licensed areas in the new A5 building currently under construction. In November 2020, the OTSU transferred $3,000,000 of this one-time fee to the University. This fee is included in the consolidated financial statements as a deferred capital contribution as the funding is directed to financing the construction.

The changes in the balance consist of the following:

|  | 2021 | 2020 |
|---|---|---|
| Balance - beginning of year | $ 162,196,325 | $ 161,099,203 |
| Contributions | 7,463,832 | 10,656,184 |
| Donated building | 960,000 | - |
| Recognized as revenue during the year | (9,612,290) | (9,559,062) |
| Balance - end of year | $ 161,007,867 | $ 162,196,325 |

### 14. GRANT REVENUES – OPERATING AND RESEARCH

Grant revenues consist of the following:

|  | 2021 | 2020 |
|---|---|---|
| Operating | $ 67,220,501 | $ 64,046,170 |
| Externally funded research | 12,637,775 | 11,245,803 |
| Total grant revenues | $ 79,858,276 | $ 75,291,973 |

### 15. PURCHASED SERVICE COSTS

Under a shared service agreement, the University purchases certain administrative services from Durham College. The cost of salaries, benefits and operating expenses purchased by the University are calculated based on a combination of individual percentage and actual cost by service area.

Amounts invoiced from Durham College for purchased services expense, including expense from ancillary operations, are recorded as expenses under "Purchased services" in the consolidated Statement of Operations. Revenues from ancillary operations are recorded as revenues and are included under "Revenues from purchased services" in the consolidated Statement of Operations.

In the current year, the bookstore and food services, once managed by Durham College, are now outsourced to third party service providers.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**15.    PURCHASED SERVICE COSTS (continued)**

The balance owing to Durham College for their share of the Collaborative Nursing program, included in accounts payable and accrued liabilities, is non-interest bearing and will be paid at the end of the next fiscal year.

**16.    INVESTED IN CAPITAL ASSETS**

Investment in capital assets represents the following:

|  | | **2021** | | 2020 |
|---|---|---|---|---|
| Capital assets - net book value | $ | 405,978,815 | $ | 396,612,877 |
| Less amount financed by deferred capital contributions | | (161,007,867) | | (162,196,325) |
| Less amount financed by long-term debt (Notes 10, 11 and 12) | | (187,897,374) | | (195,242,768) |
| **Total investment in capital assets** | **$** | **57,073,574** | $ | 39,173,784 |

|  | | **2021** | | 2020 |
|---|---|---|---|---|
| **Net change in investment in capital assets:** | | | | |
| Purchases of capital assets | $ | 29,799,566 | $ | 28,535,264 |
| Donated land | | 2,155,000 | | - |
| Donated building | | 960,000 | | - |
| Amounts funded by: | | | | |
| Deferred capital contributions | | (7,463,832) | | (10,656,184) |
| Donated building | | (960,000) | | - |
| Repayment of long-term debt | | 6,886,833 | | 6,541,920 |
| | **$** | **31,377,567** | $ | 24,421,000 |

|  | | **2021** | | 2020 |
|---|---|---|---|---|
| Amortization of deferred capital contributions related to capital assets | $ | 9,612,290 | $ | 9,559,062 |
| Less amortization of capital assets | | (23,090,067) | | (23,751,966) |
| | **$** | **(13,477,777)** | $ | (14,192,904) |

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**17.   INTERNALLY RESTRICTED NET ASSETS**

Internally restricted net assets are funds restricted by the University and approved by the Board for future commitments for the appropriation of internally-funded research and for projects to improve and invest in the University's campus facilities, working capital and student aid.   Re-purposing or increasing such restrictions is subject to Board approval.

Details of the internally restricted net assets are as follows:

|  | **2021** | 2020 |
|---|---|---|
| Balance is comprised of the following: | | |
| Research funds (a) | **$   5,107,430** | $   4,700,130 |
| Capital projects (b) | **1,120,562** | 2,939,883 |
| Student assistance and related funds (c) | **2,488,415** | 2,397,536 |
| Working capital (d) | **6,000,000** | 6,000,000 |
| Learning re-imagined (e) | **2,410,632** | 1,154,500 |
| Digital and physical infrastructure re-imagined (f) | **2,750,000** | - |
| One-time only budget allocations (g) | **250,000** | 396,790 |
|  | **$   20,127,039** | $   17,588,839 |

(a)  Research funds represent unspent start-up and professional development funds of individual members funded by Operations, and as provided by their collective agreement.

(b)  Capital projects represent internally restricted funds for university-wide and ancillary operations, in support of deferred maintenance, renovations and capital projects.

(c)  Student assistance and related funds includes the unspent operating funds and expendable portion of unrestricted donations in support of financial assistance to students.  It also includes unspent student fees such as the athletic fee and the student services fee.

(d)  Working capital represents internally restricted funds set aside to improve the financial sustainability of the University, as mandated by the Ministry.

(e)  Learning re-imagined represents amounts which have been allocated in support of the academic plan and to enhance the "pedagogy-technology" interface with the aim of providing skilled support for our students, staff and faculty. It also includes recruitment and student success initiatives.

(f)  Digital and physical infrastructure re-imagined are funds restricted to enhance the virtual and physical campus.

(g)  One-time only budget allocations approved for specific initiatives.   For 2021, funds have been set aside for potential additional COVID-19 costs.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

18. **ENDOWMENTS**

Endowment funds are restricted donations received by the University where the endowment principal is required to be maintained intact. The investment income generated from these endowments must be used in accordance with the various purposes established by donors. The University ensures, as part of its fiduciary responsibilities, that all funds received with a restricted purpose are expended for the purpose for which they were provided.

Investment income on endowments is deferred and recorded in the Consolidated Statement of Operations when the donors' conditions have been met and the related expenses are recognized.

Endowment funds include grants provided by the Government of Ontario from the Ontario Student Opportunity Trust Fund ("OSOTF") and the Ontario Trust for Student Support ("OTSS"). Under these programs, the government matches funds raised by the University. The purpose of these programs is to assist academically qualified individuals who, for financial reasons, would not otherwise be able to attend University.  On January 5, 2012, the Ministry announced that the OTSS would be discontinued as of the end of Fiscal 2012 fundraising year.

The balance of endowments consists of the following:

|  | 2021 | 2020 |
|---|---|---|
| OSOTF | $  1,995,123 | $  2,007,717 |
| OTSS | 17,834,242 | 17,660,963 |
| Other | 4,520,935 | 3,867,435 |
|  | $  24,350,300 | $  23,536,115 |

The change in the balance of endowments is as follows:

|  | 2021 | 2020 |
|---|---|---|
| Endowment fund balance, beginning of year | $  23,536,115 | $  21,843,288 |
| Donations | 724,575 | 1,333,985 |
| Realized gains | 256,466 | 226,255 |
| Realized investment income | 544,054 | 625,847 |
| Income distributions | (710,910) | (493,260) |
| Endowment fund balance, end of year | $  24,350,300 | $  23,536,115 |

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**18. ENDOWMENTS (continued)**

As per the Ministry of Colleges and Universities policies, the transactions related to OSOTF and OTTS should be presented in these financial statements, for the year ended March 31, 2021.

| | OSOTF | OTTS | Total 2021 | Total 2020 |
|---|---|---|---|---|
| **Schedule of Changes in Endowment Fund Balance** | | | | |
| Endowment balance, beginning of year | $ 1,664,223 | $ 15,556,822 | $ 17,221,045 | $ 16,574,532 |
| Eligible cash donations | - | 111,720 | 111,720 | 452,373 |
| Preservation of capital | 8,750 | 94,341 | 103,091 | 194,140 |
| Endowment fund balance, end of year | $ 1,672,973 | $ 15,762,883 | $ 17,435,856 | $ 17,221,045 |

| Schedule of Changes in Expendable Funds Available for Awards | OSOTF | OTTS | Total 2021 | Total 2020 |
|---|---|---|---|---|
| Expendable balance, beginning of year | $ 343,494 | $ 2,104,141 | $ 2,447,635 | $ 2,338,741 |
| Realized investment income | 57,406 | 609,869 | 667,275 | 737,794 |
| Less: Preservation of capital | (8,750) | (94,341) | (103,091) | (194,140) |
| Bursaries awarded | (70,000) | (548,310) | (618,310) | (434,760) |
| Expendable balance, end of year | $ 322,150 | $ 2,071,359 | $ 2,393,509 | $ 2,447,635 |
| | | | | |
| Total funds, end of year | $ 1,995,123 | $ 17,834,242 | $ 19,829,365 | $ 19,668,680 |

In the current year, 409 bursaries valued at $710,910 were disbursed from the total endowed funds (2020 – 277 bursaries valued at $493,260).

**19. PENSION PLAN**

All eligible employees of the University are members of a defined contribution pension plan. Contributions made by the University to the pension plan during the year were $6,963,749 (2020 - $6,353,112).

Agenda Item 8.1

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

20. **CONTINGENCIES AND CONTRACTUAL COMMITMENTS**

(a) *Contingencies*

The University has been named as the defendant in certain legal actions, in which damages have been sought. Provision for losses that are probable and for which an amount can be reasonably estimated are included in these financial statements.

The outcome of actions that are not determinable as at March 31, 2021 have not been recorded in these consolidated financial statements.

(b) *Contractual Commitments*

Future minimum lease payments, exclusive of taxes and operating costs, for premises and equipment under operating leases at March 31, 2021 are as follows:

| | | |
|---|---|---|
| 2022 | $ | 1,728,406 |
| 2023 | | 1,712,583 |
| 2024 | | 1,226,820 |
| 2025 | | 1,001,820 |
| 2026 | | 1,012,262 |
| Thereafter | | 1,790,670 |
| | $ | 8,472,561 |

(c) *Other*

On July 24, 2020, the University entered into a land exchange agreement with the City of Oshawa. The appraised fair market value of the City of Oshawa property is $6,250,000 and that of the University is $4,365,000. As per the agreement, the University agrees and warrants that after Closing, it shall be restricted from conveying any part of the City Property to any third party without first offering to the City for the nominal sum of Two Dollars ($2.00) on an "AS IS, WHERE IS" basis.

21. **GUARANTEE**

On October 30, 2020, the University signed a license agreement with Ontario Tech Student Union (OTSU), whereby the OTSU will pay the University a one-time license fee of $5,000,000 for the use and occupation of the licensed areas in the new A5 building currently under construction. Under this agreement, both parties agree and confirm that the University will provide a guarantee of the OTSU's obligations under a loan of a principal amount of up to a maximum of $3,500,000 which was obtained by OTSU to complete the transactions in the license agreement.

Agenda Item 8.1

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

**22.   FINANCIAL INSTRUMENT RISKS**

*(a)  Credit, interest rate and maturity risk*

The value of fixed income securities will generally increase if interest rates fall and decrease if interest rates rise.  Changes in interest rates may also affect the value of equity securities.  The fixed income investments consist of pooled funds that include various Canadian government and corporate bonds and individual mortgage holdings. The fixed income investments bear coupon rates ranging from 0.0% to 16.2% (2020 – 0.0% to 16.2%) and have maturity dates ranging from April 1, 2021 to December 31, 2099 (2020 - April 1, 2020 to December 31, 2099).

Credit risk refers to the risk that a counterparty may default on its contractual obligations,  resulting in a financial loss.   The University is exposed to credit risk with respect to investments and accounts receivable.   The University assesses, on a continuous basis, accounts receivable and provides for any amounts that are not collectible in the allowance for doubtful accounts.

*(b)  Foreign currency risk*

The University is exposed to financial risks as a result of exchange rate fluctuations and the volatility of these rates.   The University, through its investment management advisors, hedges against foreign exchange risks. There has been no change in the University's hedging policy from 2020.

*(c)  Market price risk*

Market price risk arises as a result of trading fixed income securities and equities.  The value of equity securities change with stock market conditions which are affected by general economic and market conditions.  Changes in interest rates may also affect the value of equity securities.  Fluctuation in the market exposes the University to a risk of loss.  The University manages this risk through policies and procedures in place governing asset mix, equity and fixed income allocations, and diversification among and within categories.

*(d)  Liquidity risk*

Money market investments represent instruments in highly liquid investments that are readily converted into known amounts of cash. The University invested in equity and fixed income investments that are traded in an active market, and can be readily liquidated at amounts close to their fair value in order to meet liquidity requirements.

**ONTARIO TECH UNIVERSITY**
**Notes to the Consolidated Financial Statements**
**For the year ended March 31, 2021**

23.  **IMPACT OF COVID-19 PANDEMIC**

In March 2020, the World Health Organization declared the spread of the coronavirus (COVID-19) to constitute a global pandemic and this has had a significant financial, market and social dislocating impact.  As a result of the pandemic, the University limited only essential services to the campus facilities.  Using its current technology infrastructure, academic courses were delivered on-line and staff worked from home.

Despite the roll-out of many vaccines, uncertainty remains as a result of the onset of many variants of the coronavirus and the impact that this might have on a return to campus and on travelling international students.

Management has considered the consequences of COVID-19, and has determined that they do not create a material uncertainty that casts significant doubt upon the University's ability to continue as a going concern as the University has a strong working capital base and access to sufficient liquid resources to see through operations in the coming year.

24.  **COMPARATIVE INFORMATION**

Certain comparative information has been reclassified to conform with the financial statement presentation adopted in the current year.

**CONSOLIDATED FINANCIAL STATEMENTS**

In addition to normal operating activities, these financial statements reflect the ongoing construction of the new A5 building, the global pandemic and the longer than expected physical closure of the most of the campus faculties, the impact of the current year budget reductions, and the investment of the University in its new wholly-owned subsidiary, Ontario Tech Talent.

**The Statement of Financial Position** is stable at the end of the fiscal year.   In summary, cash and short-term investments has seen a slight increase over the last year and long-term investments increase includes a $5.0M mark-to-market gain due to the significant rebound of the equity market after the sharp downturn at the end of the last fiscal year.   Investment in the new A5 building of $20.7M is reflected in an increase in Capital assets.

The University paid back $7.5M of its debt obligations and did not enter into new debt in the fiscal year.

The Net Assets section increase includes the $17.7M operating investment in the new A5 building under "Invested in capital assets" and an increase in "Internally restricted reserves" of net $2.5M set aside for future expenditures and obligations.  The net $2.5M restricted reserves is comprised of $7.7M proposed reserves from the current year surplus, offset by $5.2M prior year reserves that have since been utilized.

**Asset analysis**

Cash and short-term investments increase of $3.7M is due to a net increase in restricted research cash of $3.8M attributable to various grants received and not yet spent at the end of the fiscal year.

Grant receivable balance of $12.7M includes $5.9M of Collaborative Nursing (CN) grant funded on a slip-year basis and therefore received in the next fiscal year, $5.3M additional one-time COVID-related grants from MCU, $1.2M of external research grants, and $0.3M capital grants, all of which are current.

Grant receivable increase of $3.5M includes a net $4.9M of new COVID-related grants, $0.5M increase in CN grant receivable due to YOY enrolment growth, offset by decrease of $1.7M of prior year operating and capital grants received in the current year, and $0.2M decrease in research grants.

Other accounts receivable (A/R) includes student and trade receivables.  Balance of $5.3M includes $2.0M of student A/R most of which relates to outstanding winter semester tuition fees, other current receivables including, $1.2M trade and ACE receivables, $1.2M of application fees, $0.7M of sales tax recoverable and other balances, none exceeding $0.5M.

Other A/R decrease of $3.2M is mainly attributable to a $2.3M decrease for overpayment for shared services in the prior year and $0.9M decrease in sales tax recoverable due to the delay in CRA processing rebates in the prior year.

Investment balance of $31.9M relates to endowed funds held at PH&N.   The year-over-year increase of $5.8M is comprised of mark-to-market unrealized gains of $5.0M, net investment income $0.8M, new in-year donations $0.7M, offset by $0.7M bursary disbursements to students.

## Asset analysis (continued)

Other investments represent the investment in Ontario Tech Talent in the current year, and includes the original investment of 100 common shares (valued at $100), net of the current year loss of $0.2M.

Other assets of $2.0M include $1.6M of a life insurance policy for which the University is the named beneficiary and $0.4M of related party loan advanced to fund the start-up costs of Ontario Tech Talent.

Capital assets increase of $9.4M includes net additions of $31.2M offset by accumulated amortization of $21.9M in the current year.

Net additions comprise net $24.1M of construction-in-progress (new A5 building $20.7M, MGP $3.4M of which $1.2M is funded by an external grant), $3.2M major equipment and FF&E, $2.1M donated land, $1.7M building and lab renovations, and net $0.1M computer equipment and laptops (additions $1.7M offset by disposals $1.6M).

## Liabilities analysis

Accounts payable and accrued liabilities increase of $5.5M over the prior year includes $3.8M increase due to the timing of invoicing and payment of invoices, $1.5M increase in construction holdbacks for the new A5 building and $1.5M increase in unapplied credits for deferred admissions and pending refunds mostly attributable to international students.  These increases are offset by $1.2M decrease in transit U-PASS payable as students were not charged U-PASS for both fall and winter semesters due to the physical closure of most of the campus facilities, and other immaterial invoices.

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

Balance of $28.2M comprises $9.4M deferred tuition representing one month of winter term fees not earned at year-end, and $18.8M of revenues billed or received and not yet spent at the end of fiscal ($10.0M of externally funded research grants, $3.3M of expendable donations, $3.0M of operating grants, $1.0M of student ancillary fees, and $1.5M of miscellaneous deferred revenues).

Increase of $6.0M in deferred revenue includes $4.7M of operating and research revenue mostly attributable to new COVID support grants, and $1.3M increase in deferred tuition due to higher enrolment in the current year.

Current and long-term obligations under capital lease decrease represents the principal lease repayments for 61 Charles and 55 Bond in the current year.

Current and long-term debenture debt decrease of $6.6M relates to the principal repayment and resulting drawdown of the debt in the current year.  This debt is fully payable in October 2034.

Deferred capital contributions decrease of $1.2M includes grants and donations of $8.4M received for capital projects during the fiscal year, offset by $9.6M amortization into revenues of capital grants and donations received since inception of the University.

New grants and donations received include $3.0M contribution from the University Student Union for space in the new A5 building, $2.0M for campus renovations, $1.4M for research capital projects, $0.9M donated Stone House building, $0.6M for building projects and $0.5M for the ACE MGP project.

**The Statement of Operations are showing significant fluctuations from the prior year with** a net year-over-year increase in revenue of $5.5M (2.7%) whereas expenses decreased $12.2M (-5.8%).

Revenue net increase of $5.5M is comprised of $7.3M in unrealized gains on our endowed investments due to the meaningful rebounds experienced by equity markets over the past year compared to the sharp decline experienced last year at the start of the global pandemic, $4.6M of new operating and research COVID support grants and $2.4M increase in student tuition fees due to year-over-year growth. These revenue increases are offset by $6.6M decreases in commercial revenues such as ACE, Regent Theater, food services and parking, directly attributable to the longer than expected physical closure of most of the campus facilities.

Expenses net decrease of $12.2M over the prior year includes decrease mostly due to current year budget reductions and the impact of COVID-19 on general expenses such as travel, promotional and branding expenses, contract and consulting costs, and base building cost savings.

## Revenue analysis

Significant revenue variances include

<u>Operating and research grant</u> increased $4.6M and includes $2.5M of the new operating COVID support fund from MCU, $1.5M of external research grants and $0.6M of other miscellaneous operating grants. There is no additional grant funding from the Province for domestic enrolment growth.

<u>Donations</u> for the purposes other than endowment are deferred and recognized as revenue in the year in which the related expenses are incurred.

Donation revenue increase of $0.9M includes $1.6M for the recognition of the cash surrender value of a life insurance policy received in the current year, offset by $0.7M decrease in revenue recognized due to lower disbursement of donations in the current year.

<u>Student tuition fees</u> increase of $2.4M includes $2.0M increase in domestic tuition revenues (increase 339 FTE), and $3.0M increase in international tuition revenues (increase 135 FTE) of which $2.1M is due to the increase in enrolment and $0.9M due to the year-over-year increase in the average international tuition fees. These increases are offset by $1.3M decrease as a result of higher deferred tuition and deferral of unspent "tuition set aside" funds, $0.7M net decrease in non-credit courses and other immaterial variances.

<u>Student ancillary fees</u> decreased $2.7M as the prior year included $2.0M to reflect the accounting recognition of ancillary fees for the construction of the new basketball change rooms and a net $0.7M decrease attributable to the decommissioning of the mobile hardware program offset by increased software fees to support the "Bring Your Own Device" program in the current year.

<u>Revenue from purchased services</u> decreased $3.0M and includes $1.6M in parking and summer camp revenues due to the longer than expected physical closure of most of the campus facilities, and $1.4M decrease in bookstore revenues as bookstore, previously managed by Durham College, is now outsourced to a third party provider with revenues recorded on a commission basis under "Other Income".

## Revenue analysis (continued)

Other income decrease of $3.6M includes $3.9M decrease attributable to the impact of COVID-19 on our commercial areas, including ACE, athletic facilities, Regent Theater, and food services. This decrease is offset by an increase of $0.7M in contribution from the collaborative program due to year-over-year growth, and other immaterial variances.

Unrealized gain on investments relate to the mark-to-market gain on our endowed investments. The year-over-year increase of $7.3M is due to rebound of the equity market after the sharp downturn in March 2020.

## Expenses analysis

Significant variances include:

Salaries and benefits decrease of $1.1M includes $4.6M decrease attributable to current year budget reductions ($1.4M staff contract hires, $1.3M staff temporary layoff and salary reductions, $1.3M sessionals and teaching assistants, $0.6M delayed full-time hires) and $1.1M decrease in the work study student program which has been deferred to the following year. These decreases are offset by $3.1M increase in annual salary increases and enhanced benefits for faculty and staff and $1.5M increase in net new hires and accruals for administrative leave and vacation.

Supplies and Expenses decrease of $7.5M (~24%) over the prior year is directly attributable to current year budget reductions and the impact of COVID-19 on general expenses (decrease in: travel and related expenses $2.8M, promotional and branding spending $1.2M, base building costs $1.1M, contract services and consulting $1.0M, and other variances none of which exceeds $0.5M).

Purchased Services decrease of $2.4M includes a decrease of $1.0M in bookstore expenses as bookstore, once managed by Durham College, is now outsourced to a third party provider on a net commission basis, and $1.4M decrease in base building costs and parking expenses attributable to the physical closure of most of the campus facilities.

**FINANCIAL METRICS**

The Ministry has adopted 5 financial metrics to assist with assessing university financial health and sustainability. In the last year, the sector has been working to develop minimum thresholds for these financial indicators. These thresholds will provide early signals to the health of the institution and help support the development of plans to address financial challenges.

The table below shows COU minimum threshold, Ontario Tech University's 5-year average metrics and those for the last 2 fiscal years. Also included are the average comparator and average sector metrics for fiscal year 2019/20 (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 | | Ontario Tech Actual | | | Average comparator | Average sector |
| --- | --- | --- | --- | --- | --- | --- |
| | Minimum threshold | 5-year average | 2020/21 | 2019/20 | 2019/20 | 2019/20 |
| (1) Net Income/Loss Ratio | 1.5% | 4.5% | 7.1% | -1.2% | 4.2% | 3.9% |
| (2) Net Operating Revenues Ratio | 2.0% | 11.9% | 15.9% | 5.7% | 8.4% | 7.1% |
| (3) Primary Reserve Ratio (days) | 30 | 47 | 42 | 38 | 43 | 125 |
| (4) Interest Burden Ratio | 5.0% | 7.8% | 7.3% | 7.0% | 2.6% | 1.9% |
| (5) Viability Ratio | 30.0% | 13.3% | 12.8% | 11.8% | 29.4% | 125.3% |

**Financial Metrics Analysis**

**1. The Net Income / Loss ratio** tracks the trend in the University's net earnings. This ratio has improved significantly over the last year primarily due to a $5.0M unrealized mark-to-market gain on investment, coupled with underspending as a result of budget reductions in the fiscal year and the impact of COVID on general operating expenses.

The current year ratio at 7.1% and 5-year average at 4.5% are above the recommended minimum threshold of 1.5%.

**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.

This ratio continues to be positive and reflects the University's operating surplus, coupled with a strong positive working capital at the end of the fiscal year. The current year ratio at 15.9% and 5-year average of 11.9% are above the minimum threshold.

**FINANCIAL METRICS (continued)**

**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 has improved slightly over the prior year due to an improvement in the net expendable assets resulting from an additional $7.7M restricted reserves from the current year surplus, offset by $4.8M of prior year reserves utilized in the current year for capital projects and student assistance.  Current year at 42 and 5-year average primary reserve ratio at 47 are above the minimum threshold of 30 days.

**4.  Interest Burden ratio** indicates the University's debt affordability and the cost of servicing debt

During the current year, although interest expense has decreased, total expenses have also seen a significant decrease over the prior year which has resulted in a slight deterioration in the interest burden ratio.  Due to its relatively high debt obligations, including an outstanding $151.5M debenture debt, the current year ratio at 7.3% and 5-year average at 7.8% does not meet the minimum threshold of 5%.

**5.  Viability ratio** determines Ontario Tech University's financial health, as it indicates the funds on hand to settle its long-term obligations.   This ratio has slightly improved over the prior year as the University continues to pay back its various debt obligations and has seen an improvement in its net expendable assets associated with the current year surplus.   However, due to its high debt obligations, the current year ratio at 12.8% and 5-year average at 13.3% do not meet the minimum threshold of 30%.

**Additional disclosure:**  In August 2011, an agreement was signed between the University and MCU whereby the Ministry shall pay the University $13.5M each year to fund the repayment of the debenture debt.

Adjusting for the impact of this $13.5M grant funding, the 5-year interest burden ratio and viability ratio are 1.74% and 13.51% respectively.

**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*

**(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.*

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**(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.*

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**(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*

**(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.*

**OntarioTech**
UNIVERSITY

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| Public | ☐ | Decision | ☒ |
| Non-Public | ☐ | Discussion/Direction | ☐ |
| | | Information | ☐ |

**TO:** Board of Governors

**DATE:** June 24, 2021

**FROM:** Audit & Finance Committee

**SLT LEAD:** Brad MacIsaac

**SUBJECT:** 2020-21 Internally Restricted Reserves

**COMMITTEE MANDATE:**
The committee is responsible for overseeing the financial affairs of the University, including auditing and financial reporting to ensure that appropriate financial controls, reporting processes and accountabilities are in place at the University.

The Audit & Finance Committee is recommending the proposed 2020-21 internally restricted reserves for approval by the Board of Governors.

**BACKGROUND/CONTEXT & RATIONALE:**
Internally restricted reserves represent unspent funds in the fiscal year which are committed for specific purposes (i.e. as per contract agreements, student fee protocols), or for strategic initiatives to protect against possible adverse operating circumstances (i.e. changes to student enrolment, costs associated with the ongoing pandemic).

Restricted reserves are reviewed in conjunction with both the operating results and the statement of financial position of the University to ensure there is sufficient cash coverage to fund for these reserves whilst ensuring we maintain a strong working capital base.

**RESOURCES REQUIRED:**
N/A

**IMPLICATIONS:**
The level of restricted reserves proposed in this document has been made to remain compliant with the contractual obligations of the University whilst continuing to operate within a financially sustainable environment.

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**
The restricted reserves recommended will allow Ontario Tech to continue to support operational challenges as they arise, whilst also setting aside funds to invest in strategic initiatives related to priorities in learning re-imagined and "sticky campus".

**ALTERNATIVES CONSIDERED:**
Various options for the amounts of reserves and where the reserves would be allocated were considered. The current proposed allocation aligns with the Integrated Academic Research Plan and is within a financially sustainable framework.

**CONSULTATION:**
The reserve schedule, as outlined in the accompanying appendix table, stems from priorities set in the budget process and the Integrated Academic Research Plan.

**COMPLIANCE WITH POLICY/LEGISLATION:**
The current restricted reserves are in compliance with generally accepted accounting principles for not-for-profit organizations, and with University contracts and student fee protocol.

**MOTION FOR CONSIDERATION:**

*That pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors hereby approves the 2020-21 internally restricted reserves, as presented.*

**SUPPORTING REFERENCE MATERIALS:**
- Appendix 1: Ontario Tech 2020-21 internally restricted reserves

**ONTARIO TECH UNIVERSITY**
**DRAFT SUMMARY OF INTERNALLY RESTRICTED RESERVES FOR THE YEAR ENDED MARCH 31, 2021 ($ 000'S)**
**APPENDIX 1**

| Internally restricted assets | Opening balance as at April 1, 2020 | Reserves used in 2020/21 | Proposed Reserves | | Closing balance as at March 31, 2021 |
| --- | --- | --- | --- | --- | --- |
| | | | Per contracts | Additional reserves | |
| Research funds (a) | (4,700) | 0 | (407) | 0 | (5,107) |
| Capital projects (b) | (2,940) | 2,874 | (55) | (1,000) | (1,121) |
| Student assistance and related funds (c) | (2,398) | 1,332 | (703) | (720) | (2,488) |
| Working Capital (d) | (6,000) | 0 | 0 | 0 | (6,000) |
| Learning re-imagined (e) | (1,155) | 600 | 0 | (1,856) | (2,411) |
| Digital and physical infrastructure re-imagined (f) | 0 | 0 | 0 | (2,750) | (2,750) |
| One-time only budget allocations (g) | (397) | 397 | 0 | (250) | (250) |
| **Total internally restricted assets** | **(17,589)** | **5,203** | **(1,166)** | **(6,576)** | **(20,127)** |

(a) Research funds represent unspent start-up and professional development funds of individual members funded by Operations, and as provided by their collective agreement.

(b) Capital projects represent internally restricted funds for university-wide and ancillary operations, in support of deferred maintenance, renovations and capital projects.

(c) Student assistance and related funds include the unspent operating funds and expendable portion of unrestricted donations in support of financial assistance to students. It also includes unspent student fees such as the athletic fee and the student services fee.

(d) Working capital represents internally restricted funds set aside to improve the financial sustainability of the University, as mandated by the Ministry.

(e) Learning re-imagined represents amounts which have been allocated in support of the academic plan and to enhance the "pedagogy-technology" interface with the aim of providing skilled support for our students, staff and faculty. It also includes recruitment and student success initiatives.

(f) Digital and physical infrastructure re-imagined are funds restricted to enhance the virtual and physical campus.

(g) One-time only budget allocations approved for specific initiatives.   For 2021, funds have been set aside for potential additional COVID-19 costs.

# Ontario Tech University

## 2020/21 Operating Summary for the year ended March 31, 2021 (in '000 s)

| | Total Annual Budget | 3rd Quarter Y/E Forecast | Actuals | Fav. (Unfav.) Actuals vs. Budget $ / % | | Fav. (Unfav.) Forecast vs Budget $ / % | | Fav. (Unfav.) Actuals vs. Forecast $ / % | |
|---|---|---|---|---|---|---|---|---|---|
| **April 1, 2020 - March 31, 2021** | | | | | | | | | |
| **Revenue** | | | | | | | | | |
| Grants | 81,023 | 81,555 | 84,871 | 3,848 | 5% | 533 | 1% | 3,316 | 4% |
| Tuition | 68,629 | 80,666 | 81,773 | 13,145 | 19% | 12,037 | 18% | 1,108 | 1% |
| Student Ancillary | 10,732 | 11,211 | 11,380 | 649 | 6% | 479 | 4% | 170 | 2% |
| Other | 13,821 | 9,735 | 9,758 | (4,063) | -29% | (4,086) | -30% | 23 | 0% |
| **Total Revenue** | $ 174,204 | $ 183,167 | $ 187,783 | $ 13,579 | 8% | $ 8,963 | 5% | 4,616 | 3% |
| | | | | | | | | | |
| **Expenditures** | | | | | | | | | |
| Academic | 75,118 | 76,431 | 76,228 | (1,110) | -1% | (1,313) | -2% | 203 | 0% |
| Academic Support | 34,359 | 34,478 | 33,564 | 795 | 2% | (119) | 0% | 914 | 3% |
| Administrative | 27,562 | 26,211 | 28,404 | (842) | -3% | 1,351 | 5% | (2,193) | -8% |
| **Sub-total** | $ 137,039 | $ 137,120 | $ 138,196 | $ (1,157) | -1% | (81) | 0% | $ (1,076) | -1% |
| | | | | | | | | | |
| **Purchased Services** | 12,314 | 11,599 | 11,707 | 607 | 5% | 715 | 6% | (109) | -1% |
| | | | | | | | | | |
| **Total Ancillary/Commercial** | 7,580 | 6,027 | 6,344 | 1,236 | 16% | 1,553 | 20% | (317) | -5% |
| | | | | | | | | | |
| **Debenture Interest Expense** | 9,745 | 9,745 | 9,745 | (0) | 0% | - | 0% | (0) | 0% |
| | | | | | | | | | |
| **Total Operating Expenses** | $ 166,678 | $ 164,491 | $ 165,993 | $ 685 | 0% | $ 2,187 | 1% | $ (1,502) | -1% |
| | | | | | | | | | |
| **Operating Contribution** | $ 7,526 | $ 18,676 | $ 21,790 | $ 14,264 | 190% | $ 11,150 | 148% | $ 3,114 | 17% |
| | | | | | | | | | |
| **Expenses disclosed on the Balance Sheet** | | | | | | | | | |
| **Capital Expenses funded from Operations** | 2,171 | 6,894 | 5,833 | (3,662) | -169% | (4,723) | -218% | 1,061 | 15% |
| **Principal Repayments - debenture/leases** | 7,539 | 7,539 | 7,539 | (0) | 0% | 0 | 0% | (0) | 0% |
| | | | | | | | | | |
| **Total Net Surplus** | (2,183) | 4,243 | 8,418 | 10,602 | -486% | 6,426 | -294% | 4,175 | 98% |
| | | | | | | | | | |
| **Other disclosure: funded through PY reserves** | | | | | | | | | |
| **New Building** | $ 20,008 | $ 19,800 | $ 20,756 | (748) | -4% | 208 | 1% | (956) | -5% |

| **Reconciliation to Y/End GAAP FS:** | $ |
|---|---|
| **Operating Contribution** | 21,790 |
| **Items not budgeted:** | |
| Externally funded research revenues | 13,313 |
| Externally funded research expenses | (11,692) |
| **Non-cash transactions:** | |
| Amortization of capital assets | (23,090) |
| Amortization of deferred capital contributions | 9,612 |
| Unrealized gain on investments | 4,948 |
| Life insurance policy | 1,595 |
| **Revenues accounted as DCC on the balance sheet** | (1,332) |
| **Excess revenues over expenses - as per GAAP Financial Statements** | $ 15,145 |

# 2020/21 Operating Summary

The net operating surplus for the year, after capital expenses, debenture and lease payments, is $8.4M against a $2.2M original approved budget deficit, and a $4.2M net forecast surplus reported at the end of the 3<sup>rd</sup> quarter.

At the end of the 3<sup>rd</sup> quarter, better than expected enrolment had resulted in an upside in both tuition and tuition ancillary fees forecast.   However, the ongoing pandemic has led to a longer than expected physical closure for most of the campus premises.  Whilst this resulted in base building cost savings (e.g. janitorial services and utilities) in the current year, it adversely impacted our commercial revenues such as ACE, food services, parking and rental income from the Arena and Campus Fieldhouse.

**Actual net surplus** is favourable $4.2M to the 3<sup>rd</sup> quarter forecast, and is mainly attributable to unexpected COVID support funding from the Ministry in March 2021.

Subject to Board approval, actual surplus for the year will be internally restricted for future commitments (i.e. as per contract agreements, student fee protocols), and for specific purposes that will allow the University to continue to support operational challenges whilst also setting aside funds to invest in strategic initiatives related to priorities in learning re-imagined and "sticky campus".

Below are the variances of the year-end forecast to the approved budget:

**Enrolment**

| FTE's | 2019/20 Actual | 2020/21 Approved Budget * | 3rd Quarter Forecast | 2020/21 Actual | Actual vs Budget |
|---|---|---|---|---|---|
| **Undergraduate** | | | | | |
| Domestic | 7,901 | 7,152 | 8,290 | 8,291 | 1,139 |
| International | 461 | 365 | 495 | 521 | 156 |
| **Graduate** | | | | | |
| Domestic | 430 | 382 | 453 | 443 | 61 |
| International | 177 | 263 | 199 | 193 | (70) |
| **Total FTE's** | 8,969 | 8,162 | 9,437 | 9,449 | 1,287 |

* 2020/21 approved budget reflects the uncertainty around the global pandemic and its anticipated impact on enrolment projections.

Current eligible undergraduate and graduate enrolment projection is within the + / - 3% of the University's corridor midpoint.   Core Operating Grant remains flat as under the funding formula implemented by the Ministry in 2017 -18, the funding for domestic students for the current year remains at the 2016 – 17 level.

## 2020/21 Operating Summary (continued)

The pivot to online learning last spring and the successful transition to the hybrid model, have resulted in a higher than budgeted enrolment. Actual domestic undergraduate and graduate at 8,734 FTE are 1,200 FTE (~16%) more than anticipated, with increases seen across all faculties. Actual total enrolment for the year at 9,449 FTE are 480 FTE (~5%) more than the prior year 2019/20 enrolment, with a higher number of returning students, offset by a decrease of 6% in first-year domestic intake which will have a flow-through financial impact in the next 4 years.

### Revenues analysis

Total **actual revenues** are favourable $13.6M against the approved budget.

**Operating grant**
(i)      Forecast was flat against budget.
(ii)     **Actual grant is favourable $3.3M to forecast** due to unexpected COVID support funding of $4.8M from MCU in March 2021, of which $2.5M is recognized in the current year and remainder will be recognized in Q1 of the next fiscal year.

**Tuition fees**
(i)      Better than expected enrolment resulted in a forecast upside of $12.0M at the end of the 3$^{rd}$ quarter.
(ii)     Additionally, **actual is $1.1M positive to forecast**, and is mostly attributable to program mix.

**Other revenues**
(i)      **Forecast and actual at $4.1M lower than budgeted,** mostly attributable to a decrease in our commercial revenues for ACE, food services, parking, rental income from the Arena and Campus Fieldhouse, as a result of the longer than expected closure of most of the campus facilities (the approved 2020/21 budget assumed a partial return to campus for September 1, 2020).

The decrease in "Other revenues" is offset by a corresponding net decrease in expenses of $1.6M (see Total Commercial under "Expenses" section below).

### Expenses

Total **actual operating expenses** and capital are net $3.0M unfavourable to budget.

**Academic units**
(i)      Forecast was $1.3M unfavourable to budget due to increases in part-time labour, including sessionals, and various operating expenses, associated with higher than expected enrolment.
(ii)     Actual spending to forecast is favourable by $0.2M.

# 2020/21 Operating Summary (continued)

**Academic support units**
  (i)     Forecast spending was projected to be in line with total approved budgets.
  (ii)    **Actual spending is favourable $0.9M** and includes $0.5M underspending in the Registrar's office (recruitment, delay of project, and general expenses due to covid).

**Administrative units**
  (i)     Forecast was favourable $1.3M to budget at the end of the 3$^{rd}$ quarter due to $1.2M of base building cost savings, release of $1.0M of operational reserves which will not be utilized in the current year, offset by $0.4M increase in legal fees and other variances, none of which is material.
  (ii)    **Actual spending is unfavourable** $2.2M to forecast, mostly attributable to an additional $1.2M for student bad debt expense, and $0.2M loss in investment in Ontario Tech Talent.

**Total Commercial Expenses**
  (i)     Forecast was $1.6M favourable to budget due to cost savings directly attributable to the decrease in revenues for ACE, food services, parking, daycare and rental income from the Arena and Campus Fieldhouse (see Other revenues under "Revenues" section above).
  (ii)    **Actual is unfavourable $0.3M to forecast**, mostly attributable to ACE expenses as a result of increased client work and repairs and maintenance to the facility.

Capital Expenses funded from Operations:
  (i)     Forecast was $4.7M unfavourable to budget, and included $2.7M investment in the ACE MGP (Moving Ground Plane) to cover for project costs not funded by external grant, $1.0M IT investment to support the current and future hybrid learning platform and for the purchase of laptops for faculty and staff, and $0.7M in facilities infrastructure for projects that have been put on hold for the last 2 years due to budget constraints.
  (ii)    **Year-end results are $1.0M favourable to forecast**, comprising mostly of underspending in IT capital and in various infrastructure projects that were not completed in the current year.

**New Building**

In addition to the operating spending, the University has invested $20.8M in the new A5 building in the current year.  Funding for the new building is through a combination of restricted reserves, $5.0M contribution from the University's Student Union and an external loan of up to $25.0M.

OntarioTech
UNIVERSITY

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**          **Board of Governors**

**DATE:**          **June 24, 2021**

**FROM:**          **Audit & Finance Committee**

**SUBJECT:**          **Revised Statement of Investment Policies**

**COMMITTEE/BOARD MANDATE:**
The Board is responsible for governing and managing the financial affairs of the university.

The Investment Committee is responsible for overseeing the management of the university's investments (Funds) in accordance with the university's Statement of Investment Policies (SIP). This includes, but not limited to: reviewing on an annual basis the SIP and making appropriate recommendations to the Audit and Finance Committee, and maintaining an understanding of applicable legal and regulatory requirements and constraints.

The Investment and Audit & Finance Committees are recommending that the Board of Governors approve the proposed revisions to the SIP to ensure more flexibility to respond to market changes without a reduction in accountability.

**BACKGROUND/CONTEXT & RATIONALE:**

In winter 2021 a new Vice President Administration was appointed to the university. As a primary strategic action the Investment Committee asked for a review of the SIP and Asset Class Management documents to ensure there was enough flexibility to respond to the evolving market. As noted by one member it seemed like the investment manager would recommend a change that would take months to activate as we need numerous levels of approval. Further to these conversations, in May 2021 a survey was sent to all committee members to help outline the overall investment objective with a keen eye on assessing their opinion of institutional risk appetite as a university official. Based on these collection points the attached changes in Appendix A are being proposed.

The overall investment objective is to obtain the best possible total return on investments that is commensurate with the degree of risk that Ontario Tech is willing to assume in obtaining such return. Management worked to merge the SIP and Asset Class Management Strategy to ensure maximum flexibility with minimal changes. The following bullet points highlight the changes made to each section and the rationale for each:

- Section 6.1: The asset mix table has been fully replaced with a new version that breaks down fixed income and equity allocations by strategy/region, provides target allocations and ranges, as well as the relevant benchmark to be used for each asset class. We have set ranges such that more conservative asset classes (bonds) have a tighter lower band and a broader upper band. This table effectively replaces the entire Asset Class Management Procedures Document.

  *As each company has their own funds it is important to note we have just left in the asset class rather than specific funds so the policy applies no matter who the investment manager is. The specific funds will still be outlined in the quarterly reports.*

- Section 6.3: added a new item (d) that specifies a minimum requirement for currency hedging in bonds. This is important as most non-Canadian bond exposure should be hedged.

  *As a reminder, in our current allocation the only non-CAD bond exposure is through the Core Plus bonds which can include tactical exposures to non-CAD bonds.*

- Section 6.4: revised item (c) to increase the minimum market capitalization from $100MM to $1B. This level is still lower than any small cap exposure we would have in a PH&N portfolio, which averages $3B, but is much better than $100MM which falls more in the speculative range of equity investments.

- Section 6.4: removed the reference to Emerging Market not exceeding 10% of market value as this has already been taken care of in the asset mix table in section 6.1. Very important to avoid repetitions because if one instance is missed during a subsequent revision, it can create confusion.

- Section 6.5: for alternatives we have refreshed the section to ensure the investment manager has the ability to allocate up to 20% of the portfolio; however, as these are seen as riskier investments an "offering memorandum" outlining associated risks, fees and expenses must be provided to the committee prior to any such investment being made in the portfolio.

- Section 11: Proxy Voting is an important component of a holistic ESG approach, so the expectations from the manager in this regard should be articulated.


**IMPLICATIONS:**

These changes are intended to make the SIP document fully functional on a standalone basis. The genesis for the proposed changes is to enhance the ability of our investment managers to execute our tactical asset and strategy mix shifts in a timely fashion while ensuring that we don't breach the risk-reward framework that the Committee operates within.

**MOTION for CONSIDERATION:**

- *That pursuant to the recommendations of the Investment Committee and the Audit & Finance Committee, the Board of Governors hereby approves the proposed amendments to the Statement of Investment Policies, as presented.*


**SUPPORTING REFERENCE MATERIALS:**

Appendix A – revised SIP

Appendix A - Proposed Revised SIP:

**1.0    Purpose**

The purpose of this Statement of Investment Policies ("SIP") is to define the management structure governing the investment of non-expendable (endowed) - university funds, and to outline the principal objectives and rules by which assets will be managed. The assets will be managed in accordance with this Statement and all applicable legal requirements. Any investment manager ("Manager") or any other agents or advisor providing services in connection with assets shall accept and adhere to this Statement.

**2.0    RESPONSIBILITIES**

2.1    **Board of Governors**

The Board of Governors ("the Board") of the university has responsibility and decision-making authority for these assets. ~~The Board has the responsibility to govern these assets and has chosen to appoint members of the Audit and Finance Committee to sit on the Investment Committee.~~

As part of its fiduciary responsibilities, the Board will:

- appoint members ~~of the Investment Committee in consultation with the~~to sit on Audit and Finance Committee;

- receive the Audit and Finance Committee's recommendations with respect to the SIP and approve or amend the SIP as appropriate;

- review all other recommendations and reports of the Audit and Finance Committee with respect to the Fund and the selection, engagement or dismissal of professional investment managers, custodians and advisors, and take appropriate action.

2.2    **Audit & Finance Committee**

~~As part of its fiduciary responsibilities, the Audit and Finance Committee will:~~

- ~~receive the Investment Committee's recommendations with respect to the SIP and make recommendations to the Board for the selection, engagement or dismissal of professional investment managers, custodians and advisors, as appropriate;~~

- ~~review all other recommendations and reports of the Investment Committee, including recommendations with respect to the investments within the Fund, and recommendations to amend the Asset Class Management Strategy and approve such recommendations and receive such reports.~~

~~2.3    Investment Committee~~

~~The Investment Committee (the Committee") consists of a minimum of three (3)~~

~~external governors.~~

The Committee may delegate some of its responsibilities to agents or advisors.  In particular, the services of a custodian (the "Custodian") and of one or more investment managers (the "Manager") may be retained. As part of its fiduciary responsibilities, the Audit and Finance Committee will:

~~The Investment Committee will have an active role to:~~

- ~~formulate recommendations to the Audit and Finance Committee regarding the investments in the Fund;~~

- maintain an understanding of legal and regulatory requirements and constraints applicable to these assets;

- review the SIP ~~and the Asset Class  Management Strategy,~~ on an annual basis, and make appropriate  recommendations to the ~~Audit and Finance Committee~~Board of Governors;

- ~~provide regular reports to the Audit and Finance Committee;~~

- formulate recommendations to the ~~Audit and Finance Committee~~Board of Governors regarding the  selection, engagement or dismissal of professional investment managers,  custodians and advisors.

- oversee the Fund and the activities of the Manager, including the Manager's compliance with their mandate and the investment performance of assets

- ensure that the Manager is apprised of any amendments to their mandate; and

- inform the Manager of any significant cash flows.

### ~~2.4~~2.3  Investment Manager(s)

The Manager is responsible for:

- Selecting securities within the asset classes assigned to them, subject to applicable legislation and the constraints set out in this Statement;

- Providing the Committee with quarterly reports of portfolio holdings, ~~and~~ a review of investment performance, ~~and~~ facilitating future strategy discussions and recommending appropriate  changes to the investment portfolio; (see Section ~~7~~8 on "Reporting and  Monitoring");

- Attending meetings of the Committee at least once per year to review performance and to discuss proposed investment strategies;

- Informing the Committee promptly of any investments which fall outside the investment constraints contained in this Statement and what actions will be taken to remedy this situation; and

- Advising the Committee of any elements of this Statement that could prevent attainment of the objectives.

**3.0     PORTFOLIO OBJECTIVES**

3.1     **Investment Policy**

The Investment Policy outlines the university's investment objectives and risk guidelines.  Investment objectives are defined in the context of Total Return which is defined as the sum of income and capital gains from investments.

3.2     **Investment Objectives**

The overall investment objective is to obtain the best possible total return on investments that is commensurate with the degree of risk that the university is  willing to assume in obtaining such return.  In general, the university's investment  decisions balance the following objectives:

- generate stable annual income for the funds' designated purpose;

- preserve the value of the capital;

- protect the value of the funds against inflation; and

- maintain liquidity and ease of access to funds when needed

Stable annual incomes are an essential part of the disbursement process, and facilitate the forecast of spendable income each year.  The investment object for non-expendable (endowment) funds is to generate a total return that is sufficient to meet obligations for specific purposes by balancing present spending needs with expected future requirements.  The total return objective must take into consideration the preservation of endowment capital, and the specific purpose obligations according to donor wishes.

All endowment funds are to be accumulated and invested in a diversified segregated or pooled fund of Canadian and foreign equities and fixed income securities.  These funds must be structured to optimize return efficiency such that the return potential is maximized within the organization's risk tolerance guidelines.  The Manager is expected to advise the Committee in the event that the pooled fund exhibits, or may exhibit, any significant departure from this Statement.

**4.0     GENERAL GUIDELINES**

The university uses the investment pool method, except that in those instances where funds are precluded under agreement or contract from being pooled for investment purposes. The acquisition of specific investment instruments outside of authorized investment pools, requires the approval of the Chief Financial Officer and one of either President or VP External Relations.

All securities shall be registered in the University Of Ontario Institute of Technology's name; or in the name of a financial institution that is eligible to receive investments under the University Of Ontario Institute Of Technology's Investment Policy.

The university may or may not directly or internally manage any portion of its endowed funds.

External investment managers and/or advisors shall be selected from well-established and financially sound organizations which have a proven record in managing funds with characteristics similar to those of the university.

The university shall maintain separate funds in the general ledger for endowment fund donations. Within these funds, the university shall maintain accurate and separate accounts for all restricted funds.

Investment income, capital gains and losses on the sale of equities and securities, and the amortization of premiums and discounts on fixed term securities earned on endowment funds accrue to the benefit of the endowment accounts and are distributed to capital preservation, stabilization and distribution accounts annually.

5.1 **AUTHORIZED INVESTMENTS**

5.2 **Investment Criteria**

Outlined below are the general investment criteria as understood by the Committee. The list of permitted investments includes:

(a) Short-term instruments:

- Cash;
- Demand or term deposits;
- Short-term notes;
- Treasury bills;
- Bankers acceptances;
- Commercial paper; and
- Investment certificates issues by banks, insurance companies and trust companies.

(b) Fixed income instruments:

- Bonds;

- Debentures (convertible and non-convertible); and
- Mortgages and other asset-backed securities.

(c)  Canadian equities:

- Common and preferred stocks;
- Income trusts; and
- Rights and warrants.

(d)  Foreign equities:

- Common and preferred stocks;
- Rights and warrants; and
- American Depository Receipts and Global Depository Receipts.

(e) Alternative investments:
- Direct Real Estate Equity: commercial investment grade income-producing real estate

(f)  Pool funds, closed-end investments companies and other structured vehicles in any or all of the above permitted investment categories are allowed.

### 5.3    **Derivatives**

The Fund may use derivatives, such as options, futures and forward contracts, for hedging purposes, to protect against losses from changes in interest rates and market indices; and for non-hedging purposes, as a substitute for direct investment.

### 5.4    **Pooled Funds**

With the approval of the Committee, the Manager may hold any part of the portfolio in one or more pooled or co-mingled funds managed by the Manager, provided that such pooled funds are expected to be operated within constraints reasonably similar to those described in this mandate.  It is recognized by the Committee that complete adherence to this Statement may not be entirely possible; however, the Manager is expected to advise the Committee in the event that the pooled fund exhibits, or may exhibit, any significant departure from this Statement.

### 5.5    **Responsible Investing**

The Board has a fiduciary obligation to invest the Fund in the best interests and for the benefit of the university.

The Board recognizes that environment, social, and governance (ESG) factors may have an impact on corporate performance over the long term, although the impact can vary by industry. Best practices suggest that incorporating ESG factors in the investment process is prudent and aligned with the university's social commitment.

Given the fact that the university uses the investment pool method, it is not practical for the Committee to directly engage individual companies on ESG related issues, either through dialogue or by filing shareholder resolutions. Subject to its primary fiduciary responsibility of acting in the best interests of the university and its stakeholders, and within the limits faced by an investor in externally managed pooled funds, the Committee will incorporate ESG factors into its investment process through the following methods:

(a)     **Manager Selection and Reporting**

The integration of ESG factors in the investment process will be a criterion in the selection, management and assessment of the Manager.

The Committee will require the Manager to provide regular and annual reporting on the incorporation of formal ESG factors in the management of their portfolios.

(b)     **Engagement**

Since the university does not directly invest in companies, proxy voting is delegated to the Manager. The Committee will encourage the Manager to incorporate into their proxy voting guidelines policies that encourage issuers to increase transparency of their ESG policies, procedures and other activities, and also to bring to the Committee's attention any significant exposure through the Fund to a particular company, industry or nation that is facing a material ESG issue.

**6.0     RISK GUIDELINES**

All investment of assets must be made within the risk guidelines established in this Statement. Prior to recommending changes in investments, the Manager must certify to the Committee that such changes are within the risk guidelines. For the purposes of interpreting these guidelines, it is noted that all allocations are based on market values and all references to ratings reflect a rating at the time of purchase, reviewed at regular intervals thereafter. In the event that the portfolio is, at any time, not in compliance with either the ranges or ratings profile established in this Statement, such non-compliance will be addressed within a reasonable time after the Manager or Committee has identified such non-compliance.

### 6.1 Asset Mix and Ranges

**Table 6.1**

| Asset Class | Strategic Target | Range | Benchmark (Total Return) |
|---|---|---|---|
| **Cash & short-term** | **0%** | **0% – 10%** | FTSE 30-Day T-Bill Index |
| **Fixed Income** | **35%** | **25% – 45%** | |
| Core Plus Bonds | 20% | 15% - 35% | FTSE Canada Universe Bond Index |
| Mortgages | 15% | 0% - 25% | FTSE Canada Short Term Overall Bond Index |
| **Equities** | **55%** | **45% - 65%** | |
| Canadian | 20% | 10% - 30% | S&P/TSX Capped Composite Index |
| Global * | 30% | 20% - 45% | MSCI World Net Index ($C) |
| Emerging Market Equities | 5% | 0% - 10% | MSCI Emerging Markets Net Index ($C) |
| **Alternatives** | **10%** | **0% - 20%** | |
| Direct Real Estate | 10% | 0 - 15% | Canada CPI (seasonally adjusted) + 4.0% |

| Asset Class | Range |
|---|---|
| Cash & Short Term | 0 - 10% |
| Fixed Income | 20 - 50% |
| Canadian Equities | 15 - 30% |
| Global Equities | 25 - 45% |
| Alternatives | 0 - 20.0% |

❖ Global equities will have, on average, a 50% to 60% exposure to US equities.

Investment of assets must be within the asset classes and ranges established in Table 6.1. A more detailed breakdown of asset classes, strategic targets, ranges, and benchmarks is maintained in the university's Asset Class Management Strategy.

### 6.2 Cash and Cash Equivalents

Cash and cash equivalents must have a rating of at least R1, using the rating of the Dominion Bond Rating Service ("DBRS") or equivalent.

### 6.3 Fixed Income

(a)     Maximum holdings of the fixed income portfolio by credit rating are:

| Credit Quality | Maximum in Bond[1] | Minimum in Bond[1] | Maximum Position in a Single Issuer |
|---|---|---|---|
| Government of Canada[2] | 100% | n/a | no limit |
| Provincial Governments[2] | 60% | 0% | 40 % |
| Municipals | 25% | 0% | 10% |
| Corporates | 75 % | 0% | 10% |
| AAA[3] | 100% | 0% | 10% |
| AA[3] | 80% | 0% | 5% |
| A[3] | 50% | 0% | 5% |
| BBB | 15% | 0% | 5 % |
| BB and less | 20 % | 0% | 2 % |

[1] Percentage of portfolio at market value; [2] Includes government-guaranteed issues; [3] Does not apply to Government of Canada or Provincial issues

(b)     Maximum holdings of the fixed income portfolio, other than Canadian denominated bonds as illustrated in 6.3 (a), by asset type:

- 20% for asset-backed securities;
- 60% for mortgages or mortgage funds;
- 20% for bonds denominated for payment in non-Canadian currency; and
- 10% for real return bonds.

(c)   All debt ratings refer to the ratings of Dominion Bond Rating Service (DBRS), Standard & Poor's or Moody's.

(c)(d)   No less than 80% of non-Canadian dollar denominated bonds should be hedged back to the Canadian dollar.

## 6.4 Equities

(a)   No one equity holding shall represent more than 15% of the market value of the assets of a single pooled fund.

(b)   There will be a minimum of 30 stocks in each equity (pooled fund) portfolio.

(c)   No more than 5% of the market value of an equity portfolio (pooled fund) may be invested in companies with a market capitalization of less than $100 million1 billion at the  time of purchase

(d)   Illiquid assets are restricted to 10% of the net assets of the Fund.

(d)   Emerging market holdings will not exceed 10% of the total portfolio value.

(e)   Foreign equity holdings can be currency hedged to a maximum of 50%

(f)     It is expected that Global Equities will be well-diversified to represent a proportional share of U.S. equities as part of the broader global markets.  This has historically ranged from 55% to 65%.

(e)

6.5        **Alternative Assets**

(a)   Illiquid assets shall not constitute more than ~~15~~20% of the total portfolio.

(b)   Alternative investment solutions have the potential to enhance fixed income returns, reduce equity risk, reduce portfolio volatility and improve portfolio efficiency. They typically require a longer investment horizon, are less liquid, and when considered in isolation may be deemed more risky than other securities. The associated risks, fees and expenses are detailed in a document called an Offering Memorandum which the manager is responsible for providing to the ~~Investment~~ appropriate Committee prior to any such new investment being made in the portfolio.

**7.0     PERFORMANCE EXPECTATIONS**

**7.1   Portfolio Returns**

The portfolio is expected to earn a pre-fee rate of return in excess of the benchmark return over the most recent four-year rolling period.  Return objectives include realized and unrealized capital gains or losses plus income from all sources.  Returns will be measured quarterly, and calculated as time-weighted rates of return.   The composition of the benchmark is developed from the asset mix outlined in this Statement and more specifically described in the Asset Class Management Procedures, Appendix A.

In order to meet the university's disbursement requirements, investments need to earn a minimum level of income, measured over a four year rolling market cycle.  The minimum recommended level is defined as the sum of the following items:

| | |
|---|---|
| Minimum disbursement requirement | 3.5% |
| Investment management fees | 0.5% |
| Capital preservation amount | 2.0% |
| Minimum Rate of Return | 6.0% |

Note:  The disbursement requirement and capital preservation amounts will be reviewed, and updated as required.

**8.0     REPORTING & MONITORING**

8.1   **Investment Reports**

Each quarter, the Manager will provide a written investment report containing the following information:

•      portfolio holdings at the end of the quarter;
•      portfolio transactions during the quarter;

- rates of return for the portfolio with comparisons with relevant indexes or benchmarks; Compliance report;

8.2 **Monitoring and Recommendations**

At the discretion of the Committee as required, the Manager will meet with the Committee regarding:

- the rate of return achieved by the Manager;
- the Manager's recommendations for changes in the portfolio;
- future strategies and other issues as requested.

The agreement with the Manager or any Custodian will be reviewed by the committee on a four year cycle. This review could include a Request for Proposal for these services.

8.3 **Annual Review**

It is the intention of the university to ensure that this policy is continually appropriate to the university's needs and responsive to changing economic and investment conditions. Therefore, the Committee shall present the SIP to the ~~Audit and Finance Committee, and through that Committee to the~~ Board, along with any recommendations for changes, at least annually.

**9.0 STANDARD OF CARE**

The Manager is expected to comply, at all times and in all respects, with the code of Ethics and Standards of Professional Conduct as promulgated by the CFA Institute.

The Manager will manage the assets with the care, diligence and skill that an investment Manager of ordinary prudence would use in dealing with all clients. The Manager will also use all relevant knowledge and skill that it possesses or ought to possess as a prudent Investment Manager.

The Manager will manage the assets in accordance with this Statement and will verify compliance with this Statement when making any recommendations with respect to changes in investment strategy or investment of assets.

The Manager will, at least once annually, provide a letter to the Committee confirming the Manager's familiarity with this Statement. The Manager will, from time to time, recommend changes to the SIP to ensure that the SIP remains relevant and reflective of the university's investment objectives over time.

**10.0 CONFLICT OF INTEREST**

All fiduciaries shall, in accordance with the university's Act and By-laws and policies on conflict of interest, disclose the particulars of any actual or potential conflicts of interest with respect to the

Fund.  This shall be done promptly in writing to the Chair of the ~~Investment~~ Audit & Finance Committee.  The Chair will, in turn, table the matter at the next Board meeting.  It is expected that no fiduciary shall incur any personal gain because of their fiduciary position.  This excludes normal fees and expenses incurred in fulfilling their responsibilities if documented and approved by the Board.

## 11.0    PROXY VOTING RIGHTS

Proxy voting rights on portfolio securities are delegated to the Manager. The Manager is expected to maintain, and produce upon request, a record of how voting rights of securities in the portfolio were exercised. The Manager will exercise acquired voting rights in the best interests of the unit holders of the pooled fund.

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| | | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**      **Board of Governors**

**DATE:**    **June 24, 2021**

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

**SUBJECT:**  **Signing Authority Policy Instrument Framework**

**AUDIT & FINANCE COMMITTEE MANDATE:**
- In accordance with the Policy Framework, A&F is the deliberative body for Legal, Compliance and Governance Policies and the approval authority for Procedures.
- At the A&F meeting on June 16, 2021, the committee approved the Expenditure Signing Authority Procedure and the Legal Commitments Signing Authority Procedure.
- **Request:** The Audit & Finance Committee is seeking the Board's approval of the Signing Authority Policy.

**BACKGROUND/CONTEXT & RATIONALE:**
- At its meeting on June 16, 2021, the Committee received a memorandum describing the history of extensive consultation on these important policy instruments.  We also received an overview from the General Counsel and the Vice President, Administration.
- We note that the university also engaged an external consultant who assisted in benchmarking  contemporary good practice in the university sector.
- The Committee reviewed three Key Policy Instruments:
  - Signing Authority Policy is intended to ensure that there is sound stewardship of the University's resources and assets through a University-wide framework of Contract signing authority and delegation of that authority where appropriate
  - Expenditure Signing Authority Procedure sets out relevant monetary thresholds for approving expenditures, including expenditures pursuant to contracts.

- o <u>Legal Commitments Signing Authority Procedure</u> comprises an extensive list of contract categories and, within those categories, any approval requirements, specific signing authorities and relevant monetary thresholds (if any). This allows for incoming funds to be subject to different monetary thresholds than expenditures.
- The General Counsel noted that these instruments are complementary to existing instruments which provide guidance relating to when legal advice must be sought respecting legal obligations.
- The Committee notes that this policy work was undertaken at the request of the previous Board and in response to Board concerns to ensure clarity and accountability.  The Committee appreciates the efforts undertaken and confirms its perspective that the new policy instruments address the concerns raised.
- In keeping with its authority under the Committee Terms of Reference, the Committee approved the two procedure instruments.
- The Committee recommends the Signing Authority Policy instrument to the Board of Governors for approval.

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**
- Aligns with the values of "Honesty and Accountability" by establishing stewardship of the University's resources and assets through a University-wide framework of Contract signing authority and delegation of that authority where appropriate.

**CONSULTATION:**
- The Committee is satisfied with the extensive community consultation that took place over several years and are further satisfied that the current drafts of the policy instruments build upon the results of that consultation.  The Committee notes that most recently Academic Council was consulted and is satisfied with the responses provided by the administration to the comments of Academic Council.

**COMPLIANCE WITH POLICY/LEGISLATION:**
- These policy instruments will be enacted to ensure clear delegation of signing authority consistent with the University's Act, broader public sector accountability requirements, and compliance with contractual terms through the enactment of a process for clear contract ownership/management and compliance.

**MOTION:**
- *That pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby approves the Signing Authority Policy as presented.*

**SUPPORTING REFERENCE MATERIALS:**
- Signing Authority Policy (draft)

| | |
|---|---|
| Classification | LCG ~~xxxx~~1132 |
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Board of Governors |
| Policy Owner | Vice-President, Administration |
| Approval Date | DRAFT FOR REVIEW |
| Review Date | ~~2020~~ |
| Supersedes | Signing Authority Policy~~,~~ |
| Last Updated | |

<mark>**DRAFT – April ~~19~~27, 2021**</mark>

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## SIGNING AUTHORITY POLICY

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### PURPOSE

1.  This Policy is intended to ensure:

    - that there is sound stewardship of the University's resources and assets through a University-wide framework of Contract signing authority and delegation of that authority where appropriate,
    - that risk management processes are in place to support effective and informed decision-making,
    - that roles and responsibilities are clarified so that administrators and others can manage their respective areas of responsibility effectively, efficiently and transparently,
    - ~~that there is consistent accountability and reporting throughout the University, and~~
    - ~~that all Contracts undergo authorized review and approval prior to execution.~~

    Every individual signing a Contract on behalf of the University must understand that, in doing so, the individual is binding the University, not a department, a Faculty or an administrative unit.

### DEFINITIONS

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

    **"Budget Holder"** means the individual(s) who are responsible for individual budgets at various departmental levels across the University

    **"Contract"** means any document that establishes, or any other evidence of, an intention to establish a binding legal relationship between the University and one or more third parties. The titles of such documents are secondary to their content and its effect in creating legal rights and obligations of the University.

    **"Contract Authority" ("CA")** means the individual(s) with direct or delegated authority to approve a Contract in accordance with the applicable Signing Authority Procedure.

    "**Contract Management**" means the set of activities required to properly manage contractual commitments to and from third parties and includes the management of pre-Contract diligence, negotiation, and implementation activities.

    **"Expenditures"** include all amounts disbursed from the University, including amounts pursuant to a Financial Contract.

**"Financial Contract"** means any document, process, or any other evidence that records an intention to establish a monetary obligation between the University and one or more third parties, e.g. the procurement of goods and services through a purchase order.

**SCOPE AND AUTHORITY**

**3.** This Policy applies to all types of Contracts and extends to all members of the University community.

**4.** There is a framework of related policy instruments, including the Contract Management Policy and Legal Review of Contracts Procedures that guide the development and implementation of contracts.

**5.** The Vice-President, Administration, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

**POLICY**

**6.** Under the *University of Ontario Institute of Technology Act, 2002*, the Board may delegate to the President, Vice-Presidents, or other employees of the University signing authority and responsibility for matters necessary for the University's day-to-day operations.

**7.** Contracts will be in writing and signed by the Contract Authority or permitted delegate as provided in sections 9, 10 and 11 below.

**8.** All Contracts are to be entered into in the name of the University of Ontario Institute of Technology.

**9.** The President is authorized to execute any Contract on behalf of the University except in the following circumstances:

    **9.1.** Where the President's authority to deal with the subject matter of the Contract is limited by Board by-law, resolution or policy; or

    **9.2.** Where the authority to execute the Contract has been specifically delegated in another Board by-law, resolution or policy.

**10.** The President may delegate this signing authority to other University employees but will remain accountable to the Board of Governors for all Contracts executed by such delegates. The nature and scope of such delegation from the President, including approval requirements, will be set out in procedures issued by the President as described below.

    **10.1.** The signing authority for Financial Contracts and Expenditures will be set out in the Expenditure Signing Authority Procedures.

    **10.2.** The signing authority for all other Contracts will be set out in the Legal Commitments Signing Authority Procedures.

**11.** The President and Vice-Presidents may sub-delegate temporarily the signing authority given to them under any Board by-law, resolution or policy for the duration of any absences from the University, or permanently according to criteria set out in the procedures issued by the President. Holders of restricted funds (research, endowment spending and other trust funds) may temporarily delegate signing authority.

**11.1.** Signing authority is conferred upon Vice-Presidents, Deans, Chairs or Directors of Faculties/Departments to make expenditures within the amounts and scope of the accounts allotted to them in the University's operating budget through publication of the operating budget (with the exclusion of the Series 'A' Debenture), as approved by the Board of Governors of the University.

**12.** The Vice-President, Administration is responsible for establishing and overseeing the application of procedures for effective financial management and control to enable senior administrators and others with financial responsibility to execute their responsibilities appropriately. Procedures are set out in the Expenditure Signing Authority Procedures.

**13.** Contracts will be developed and managed in accordance with applicable Contract Management policies and procedures. The Contract Authority will be responsible for ensuring that all Contracts they execute comply with policies and procedures relating to the negotiation, review and execution of Contracts.

## MONITORING AND REVIEW

**14.** This Policy will be reviewed as necessary and at least every three years.  The Vice-President, Administration is responsible, for monitoring and reviewing this Policy.

## RELEVANT LEGISLATION

**15.** University of Ontario Institution of Technology Act, 2002, S.O. 2002, Chapter 8, Schedule O, as amended from time to time.

## RELATED POLICIES, PROCEDURES & DOCUMENTS

**16.** Contract Management Policy

**17.** Legal Review of Contracts Procedures

Expenditure Signing Authority Procedure
Legal Commitments Signing Authority Procedure
Policy on the Internal Use of Research Funds
Procurement Policy
Procurement Procedures
Expenses Policy and Procedures

June 24, 2021

Dear Governors,

**Re: 2021 Annual Risk Management Report to the Board**

This letter is a cover letter written by the Chief Risk Officer and is intended to summarize and highlight elements of the Annual Risk Management Report ("**Report**").

The Board of Governors (the "**Board**") is responsible to ensure that Ontario Tech University ("**Ontario Tech**" or "the **University**") engages in effective risk management. With a view to enabling the Board and Audit and Finance Committee to assess the University's progress, we are pleased to present this sixth Annual Report on University Risk Management (URM) first in draft to the Audit and Finance Committee of the Board and then to the Board of Governors, as a whole.

I am very pleased to report that this past year has been a pivotal year for demonstrating that the University effectively considers risk as part of its decision-making. The University's response to strategic and foundational risks exacerbated by COVID, and to the myriad operational risks arising from COVID, has been exceptional.

**COVID-19 RESPONSE**

Under the leadership of Dr. Murphy, the University has recognized and engaged with the strategic risk implications of COVID-19. There has been a high-level of focus on the risks of sustainability, implications for enrolment, technology and learning, and how to differentiate the university in the post-COVID world.

The University's response to both new operational risks arising from COVID-19 and to exacerbated existing operational risks has been exemplary under the leadership of Dr. Livingston, B. MacIsaac, and the Director of Risk Management, J. Dupuis.

**WHAT ONTARIO TECH URM SUCCESS LOOKS LIKE**

A risk culture is an operating environment in which risks are taken to advance the strategic, academic, and administrative goals of Ontario Tech. The University risk management program supports risk-taking by integrating analysis, planning, and risk mitigation into university decision-making processes. While this exercise is a long-term change management exercise involving a change in Ontario Tech culture, the effective strategic and operational response to the pandemic has led me to conclude that there is

an increasingly strong risk culture at Ontario Tech.  Progress toward this culture has been accelerated significantly over the past two years with the President's focus on truly engaging with strategic risk considerations, and fully supporting the implementation of the University risk management program.   I am pleased to include a quotation from President Murphy in this letter:

> "The pandemic has provided an opportunity for our entire community to see risk as an ongoing strategic discussion. Never before have we faced more uncertainty, and yet even priority-setting in times of fiscal constraint is an act of risk management. We have faced existential crises as a team, and made extremely difficult decisions, in a decisive fashion. These decisions coupled with a vision for reimagined learning are designed to provide a distinct value proposition for our institution where pedagogy is enhanced by technology."

**PROGRESS IN 2020-2021**

The Report speaks for itself.  While there are a small number of risk objectives that were not met in the past year because managing COVID risk was prioritized, the Report demonstrates that significant progress was made.  The President and SLT, along with the Board, have been deeply engaged in strategic and foundational risk management. All functional areas have operational risk registers.   The operational registers are now mapped to the strategic risk register. Significant progress was made in the creation of risk tools to support those managing risk. Risk considerations are clearly part of all key decisions.

**AREAS FOR FOCUS IN 2020 AND BEYOND**

The specific goals and objectives for next year are set out in Part III of the Report.  We will report regularly against these goals and objectives.

I would like to signal a shift in how I recommend that the University engage with the Board going forward. This is supported by the President. In the seventh year of implementing a University risk management program, I believe that the University has achieved a solid foundation for a risk culture.  As such, it is my recommendation that going forward, the Board focus its engagement in two areas:

1. The primary focus of the Board (both attention and time) should be on strategic and foundational risk discussions;
2. A secondary focus of the Board should be on satisfying itself that the University risk management program is being maintained.

To achieve the above, I will be working with the President and Board Chair on strategic and foundational risk engagement between the Board and SLT. With respect to the operational aspects of risk management, I am proposing that we shift to simplified dashboard-type reporting (as has already been suggested by our Board Chair).

I want to congratulate the President and the University as a whole (with a special shout out to the Director of Risk) for an exemplary year of progress. The pandemic has demonstrated the strength and resilience of our community, and the solid foundation we had already built in risk management has enabled a successful response to the pandemic.

Sincerely,

Cheryl Foy
University Secretary and General Counsel
Chief Risk Officer

# ANNUAL
# RISK MANAGEMENT
# REPORT

June 24, 2021

Prepared by:
Cheryl A. Foy, Chief Risk Officer
Jackie Dupuis, Director of Risk Management
Reviewed by the Risk Management Committee

## TABLE OF CONTENTS

# PART I - INTRODUCTION

In 2015, the previous university Board asked the President to develop and implement a University Risk Management (URM) program at Ontario Tech. The President has assigned this responsibility to the University Secretary and General Counsel (USGC). Pursuant to the University **Risk Management Policy** ("RM Policy", attached as Appendix A), the USGC is designated as the Chief Risk Officer.

The long-term goal for risk management is that Ontario Tech develop a culture of Risk Ownership. The RM Policy states:

> "The University is committed to fostering a culture of risk-ownership throughout the University. This does not mean that we avoid engaging in activities that have risks or that we avoid Risk in our teaching and research and other activities we undertake for the University. It is recognized that both strategic and operational decisions and the work undertaken by University Members, all inherently involve risk.
>
> To the University, having a culture of Risk Ownership means that:
>
> i)    Strategic and operational decisions are made with full awareness of the risks relevant to those decisions;
>
> ii)   All University Members are aware of the organization's emphasis on URM and incorporate a proactive approach and awareness to managing Risk in their individual roles."[1]

As of June, 2020 (the date of the last Annual Risk Report), while playing a key role in responding to and managing the risks inherent in the COVID-19 response, Ontario Tech has succeeded in moving the risk yardstick and continues to lay the foundation for the development of a strong culture of Risk Ownership.

# PART II – PROCESS AND STATUS UPDATE

## 1.   HISTORICAL OVERVIEW

Ontario Tech is in its seventh year of developing and implementing a risk management program. The table below summarizes the key milestones achieved.

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[1] Ontario Tech Risk Management Policy, section 9, "Statements of Principle".

| DATE | MILESTONES ACHIEVED |
|------|---------------------|
| June 2021 | <ul><li>Increased focus on Foundational and Strategic Risk Mitigation</li><li>Finalized twenty-four (24) Operational Risk Register reviews and three (3) interim Operational Risk Register reviews</li><li>Established the first Provostial Risk Register</li><li>Memberships held by the Director of Risk Management:<ul><li>Chaired COVID Operations Taskforce</li><li>Risk Advisory Committee for CURIE</li><li>Enhancing Downtown Experience Taskforce</li><li>Ontario Tech "Street Team" Committee</li></ul></li><li>Renewed Insurance Portfolio consisting of eighteen policies</li><li>Documents developed include:<ul><li>Mask Directive</li><li>Volunteer Policy and Procedures</li><li>Volunteer Informed Consent document</li><li>Field Trip Informed Consent document</li><li>Field Trip Liability Waiver document</li><li>Hierarchy of Controls document</li></ul></li><li>Completed eight (8) Physical Campus Hazard reviews and reports alongside Health and Safety and Campus Infrastructure</li><li>Introduced liability mitigation signage on campus</li><li>Completed second Freedom of Expression annual reporting regarding events established for HEQCO</li><li>Tracked risk management and insurance metrics and presented fourth set of metrics for risk management</li><li>Developed Board COVID-19 Special Board Report (Appendix B)</li><li>Sixth (6th) Annual Risk Management Report presented to the Board</li></ul> |
| June 2020 | <ul><li>Finalized twenty-four (24) out of twenty-five (25) interim Operational Risk Register reviews</li><li>Completed six (6) annual Operational Risk Register reviews</li><li>Collaborated with NAV Canada to expand air vehicles airspace on campus to support research and research related activities</li><li>Developed Sport Risk Assessment Guideline</li><li>Collaborated with key University Members on project initiatives to support the President's "Sticky Campus" strategic priority</li></ul> |

| DATE | MILESTONES ACHIEVED |
|---|---|
| | • Developed virtual (QR code) brochure for students regarding placement/research/co-op insurance<br>• Freedom of Expression annual reporting regarding events established for HEQCO<br>• Implemented monthly Physical Campus Hazard reviews and reporting alongside Health and Safety and Campus Infrastructure<br>• Developed Informed Consent document<br>• Enhanced the Risk Management and Insurance website<br>• Led risk management training sessions to new Risk Owners and members of the university<br>• In relation to COVID-19:<br>   o Updated the Pandemic Planning templates<br>   o Finalized a set of cross institutional 25 Pandemic Plans<br>   o Developed a list of essential activities and essential services<br>   o Established List of Delegated Authority<br>   o Confirmed University Continuity Leads<br>   o Chaired Operations Taskforce<br>   o Developed Campus Access Protocol during a Provincial Emergency<br>   o Supported development of Health and Safety related tools<br>• Tracked risk management and insurance metrics and presented third set of metrics for risk management<br>• Fifth Annual Risk Management Report presented to Board |
| JUNE 2019 | • Developed a Repeatable Annual Risk Register process for Risk Owners<br>• Developed a Strategic Risks Risk Register Tool<br>• Developed a Risk Owner Reporting Tool for established High, Extreme, Foundational and Strategic Risks<br>• Assigned Risk Owners to the University High, Extreme, Foundational and Strategic Risks<br>• Completed eighteen (18) interim Operational Risk Register reviews<br>• Finalized twenty-four (24) annual Operational Risk Registers<br>• Finalized the Strategic Risk Register and presented first set of mitigation and treatment plans<br>• Finalized the University Continuity Policy (UCP) and developed a UCP Work Plan<br>• Updated and finalized the Risk Management Policy |

| DATE | MILESTONES ACHIEVED |
|------|---------------------|
| | • Drafted a University-Hosted Event Risk Management and Approval Directive<br>• Drafted a University Field Trip Risk Management and Approval Directive<br>• Drafted an Air Vehicles Directive<br>• Enhanced the Risk Management and Insurance website<br>• Facilitated risk management training sessions to new Risk Owners and members of the university<br>• Finalized an Insurance Work Plan<br>• Tracked risk management and insurance metrics and presented second set of metrics for risk management<br>• Fourth Annual Risk Management Report presented to Board |
| JUNE 2018 | • Developed a Risk Register process document<br>• Facilitated risk management training sessions to new Risk Owners and members of the university<br>• Finalized twenty (20) Risk Registers<br>• Developed a draft set of strategic risks<br>• Finalized risk management metrics and presented first set of tracked metrics for risk management<br>• Defined a clear High and Extreme Risk process and a list of High and Extreme Risks<br>• Third Annual Risk Management Report presented to Board |
| JUNE 2017 | • Developed a set of draft Risk Registers for the University<br>• Analyzed, synthesized and organized all risks resulting in a lower number of risks<br>• Clarified the process for Risk Owners and developed a reporting structure<br>• Integrated URM into strategic and planning processes<br>• Second Annual Risk Management Report presented to the Board |
| JUNE 2016 | • University-wide consultation process (>100 employees) to develop a grass roots and top down preliminary view of University risks<br>• Twenty-four (24) first draft Risk Registers prepared<br>• Developed five risk categories and identified twenty-one risk drivers<br>• First Annual Risk Management Report presented to the Board |
| JUNE 2015 | • Clarified risk roles and responsibilities<br>• Consultation process with university academic and administrative leaders |

| DATE | MILESTONES ACHIEVED |
|------|---------------------|
|  | • Established Terms of Reference for Risk Management Committee<br>• Developed Risk Tools<br>• Approved a Risk Management Work Plan |
| JUNE 2014 | • Board of Governors approved Ontario Tech's first Risk Management Policy after extensive consultation and discussion |

## 2. HOW DOES THE BOARD MEASURE URM PROGRESS?

As established in the university's first Annual Risk Report dated June, 2016, and as approved by the Board, Ontario Tech committed to providing this report annually to assist the Board in assessing the progress of the URM process. To that end, the Board adopted the following six measures of progress as recommended by The Association of Governing Boards, in partnership with United Educators[2]:

**Measure 1**: Each year the university should be able to demonstrate to the Board how the university has sustained URM as a priority.

**Measure 2**: Each year the Board should check on the leadership of URM and verify that URM is an important objective for that leader.

**Measure 3**: Each year the Board should engage in a discussion of the top strategic and operational risks facing the University and should understand how they are managed and monitored.

**Measure 4**: The Audit & Finance Committee (A&F) should include risk management discussions on its work plan. The Board should devote time at one meeting annually to discuss the major risks facing the institution.

**Measure 5**: The University should continue to engage in ongoing orientation and Board training sessions including information about risks to the institution.

**Measure 6**: Each year the Board should be asked to comment on and assess the URM and the success (or not) of the stated URM goals and objectives. Generally, the Board should be satisfied that the URM is effectively identifying and enabling the management and mitigation of the major risks facing the university.

The remainder of this Report is intended to allow the Board to assess the university's 2020-2021 progress in URM as against the adopted measures described above.

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[2] From "A Wake-up Call: Enterprise Risk Management at Colleges and Universities Today", A Survey by the Association of Governing Boards of Universities and Colleges and United Educators, 2014, pp. 3 to 10 (Much of the language above is directly quoted from this document).

3.   **MEASURING 2020-2021 PROGRESS:**

   a.  **Measure 1 – How has the university sustained URM as a Priority?**

Despite and in response to COVID-19, the university has made excellent progress in sustaining URM as a priority.  More specifically:

**Strong Leadership:** The President is actively involved in risk management of foundational risks and strategic risks.  The President is strongly supportive of all operational risk management activities and the development of a risk-informed culture.

**Dedicated Resource:** The university has a dedicated Director of Risk Management overseeing all of the URM activities, with the support of the University General Counsel and a cross-functional Risk Management Committee. Success in embedding URM into Ontario Tech's culture is evidenced by the integration of URM into strategic and planning processes and identified and trained Risk Owners.

**COVID-19:** In addition to presenting many operational risk management challenges, the global pandemic underscored the need for universities to focus on financial sustainability and developing strategies to address the 'new normal' in a post-pandemic world. This is discussed more under Strategic and Foundational Risks below. Appendix B is a Special COVID report addressing primarily the operational risk activities in response to COVID-19.

**Ongoing Risk Planning:** In 2020-2021, Ontario Tech continued to make progress against the risk goals during the academic year. While the pandemic remains unpredictable, the university remains ready to maintain operations while keeping all stakeholders safe.  We also have plans to maintain focus on advancing the university risk management project.

**Strategic and Foundational Risks**

The President's five strategic priorities continue to anchor and guide all risk management activities.  SLT has focused on and aligned the strategic risks with these priorities in the Strategic Risk Register appended as confidential Attachment 1.  In addition, Risk Management's operational activities during COVID-19 focused in particular on ensuring a Sticky Campus and Learning Reimagined, through the safe continuation of online learning/teaching, and research activities, as well as safe return to play initiatives for student athletes.

   a.  **Focus on Foundational Risks**

   Several years ago, the university identified two foundational risks: sustainability and compliance. The financial uncertainty precipitated by COVID-19 increased the President's already significant focus on financial sustainability.  The President has worked with the Vice President, Administration and other members of SLT to focus

on strategic and operational responses to mitigate financial sustainability risks including a focus on enrollment, alternate sources of revenue, technology enhancements, and an engaged and fruitful discussion with the Academic Council and the broader university community on how Ontario Tech will respond in a differentiated way to the post-pandemic world. The President led several discussions on these topics with the Board in 2020-2021.

**b. Continue to work to address Strategic Risk at the university**

Since November 2018, members of SLT have continued to work with Risk Management to develop and report on Strategic Risk mitigation strategies. Significant adjustments were made to the strategic risk drivers, controls, risk mitigation strategies and future treatment plans. A final draft of these changes can be found under confidential Attachment 1. SLT also spent time reviewing the twelve strategic risk descriptions listed to clarify them. "Student Experience & Culture" and "Campus Culture" were changed to "Student Experience" and "Campus Culture". "Innovation" was altered to include "Research & Innovation".

The Strategic Risks are set for a substantive review during the 2021-2022 term to ensure these risks continue to align with the university's priorities. The President is planning to allocate significant time at an SLT retreat to work with these risks.

**c. Continue to map Operational Risks to the Strategic Risks**

Through the university's annual and interim Risk Register review, Risk Owners were asked to review their operational risks, and align these risks against the strategic risks identified by the Board of Governors in 2018. To accurately capture and track the alignment, the template of the operational Risk Register was redesigned to capture and track the proposed strategic risk identified by the Risk Owner.  While COVID slowed this initiative down, it was completed during the year.  The results of this exercise will be shared with SLT for further discussion.

**Risk Management Implementation**

**a. Continue to support and train Risk Owners in the management and mitigation of risk;**

Risk education and awareness continued to occur over the 2020-2021 academic year, primarily focusing on issues raised by the Risk Owners. A few noteworthy discussions:

- *International Travel and associated risks related to COVID-19;*
- *Insurance against our existing placement programs and the adverse effects of COVID-19 e.g.; infectious disease; and*
- *New contract terms with partners and contract renewals.*

Risk Management continues to offer training to the university community on insurance gaps and the implications of a challenging insurance market.

Risk Management has focused efforts on research owners and research-related activities to better understand the nature of their projects and to advise on policy limitations or conditions that may apply to research activities.

**b. Continue to support Risk Owners reporting on risk work.**

Although typical operational risk work paused in some instances due to the pandemic, there was a lot of ongoing risk management activity in areas such as:

*Onboarding new Risk Owners related to the annual Risk Register review*: Risk Management engaged with new Risk Owners and Risk Leads to provide an overview of risk management, their role as a Risk Owner, and the annual and interim processes associated with risk data collection.

*Supporting Risk Owners through effective identification and risk description:* As part of the risk assessment process, Risk Management has created a "string" of information that distinguishes between cause and effect, simplifying the process of describing risk for Risk Owners to effectively use in their decision making.

*Recognition of responsibility and ownership:* Supporting risk owners in understanding their role as it relates to the URM, incidents on campus, and effective reporting channels. The primary goal is to empower the university members to identify risk and take appropriate action.

*Returning to risk basics with Risk Owners:* Through the Risk Register review, Risk Management returned to the basics in some instances as it relates to managing risk e.g. transferring, tolerating, treating, and terminating risk.

Risk Owners continued to receive guidance on interpreting the Strategic Risks and mapping those risks to their respective Operational Risks. The exercise of mapping these risks was concluded over the 2020-2021 academic year.

**c. Design and implement additional processes and tools to support university continuity of operations.**

**Metrics:** Metrics for risk and insurance were tracked over the 2020-2021 academic year and are shared herein as confidential Attachment 2. There are variations which are consistent with the previous academic year, and which have resulted from COVID-19.

**Dashboard Reporting:** Efforts were made to research available dashboards to support a risk management platform. It has been established that many universities within the sector have not developed a tool to support a comprehensive risk management program. The objective for 2020-2021 is to establish a capstone project through the university's business faculty to identify an appropriate platform and application to support a dashboard initiative.

**University Continuity:** University continuity (known outside our sector as "business continuity") continues to be a focus. Risk Management worked alongside SLT and Risk Owners to establish Continuity Leads to support the University's Continuity Policy. Pandemic plans, essential operations, anticipated recovery time and recovery objectives have been established to support the plan's response, but there is still much work to be done. We observed that Risk Owners were confused about the differences between administrative and environmental controls and developed the Hierarchy of Control document to assist them. We will continue to use this document to guide Risk Owners. In support of the university continuity work, a business impact assessment tool has been developed. Its use was paused due to pandemic response.

The continuity work plan will be established in the 2021-2022 academic term.

i. **Insurance**:

**Insurance**: Risk Management provides an annual insurance report to the Board. The increasingly competitive and restrictive insurance market has resulted in changes to the availability of cyber insurance for the post-secondary sector. This has resulted in significant supplemental conditions imposed against the university. We are continuing to work with our respective stakeholders to ensure adequate coverage is in place at the university at the annual renewal. Discussions are currently underway with Durham College to determine opportunities for aligning our cyber policies in the future, including breach coaches, and investigative firms.

ii. **Support the Development of a University Risk Appetite**

Due to recent COVID-19 events, the goal to develop the University's risk appetite was deferred and will be considered as a priority in the 2021-2022 academic year.

iii. **Effective Compliance Management - Develop Policies re Foundational Risks**

In 2019, the university hired its first dedicated compliance resource under the University Secretariat. The primary focus of that role is to support the General Counsel to implement an overall compliance program. A key step has been the successful establishment of the Compliance Policy. The development of tools and instruments to support the roll-out of this policy to the broader university community is underway, as is a Copyright compliance project. In addition to developing the broader program, the USGC is focused on shorter-term emergent risk compliance priority matters such as AODA, Controlled Goods, and Health and Safety matters. The General Counsel reports to A&F quarterly on compliance activities and this report addresses compliance work done and underway.

iv. **Annual Risk Management Report**

This Annual University Risk Management Report dated June 24, 2021, fulfils this objective.

### v. Work with Academic Council on Their Role in Risk Management

Deferred: One of the priorities identified was to work with Academic Council regarding their role in risk. Due to ongoing COVID-19 events, the Academic Risk Work Plan was deferred and will be considered as a priority in the 2021-2022 academic year.

### vi. Ontario Tech Operational Risk Register

The university completed its fifth annual Risk Register review, which focused on the university's operational risks. The review included institutional risks which were high, extreme, and foundational to the university, as well as local risks specific to the unit and faculty areas. The annual review focused on:

- Completing the alignment of the Operational Risks to the Strategic Risks;
- Appropriately assigning risk associated with Equity, Diversity, and Inclusion;
- Current mitigation strategies on technological infrastructure; and
- The two foundational risks (Financial Sustainability and Compliance).

A survey was conducted with the Deans in 2019 to identify which of their respective institutional operational risks should have oversight by the Provost. The results of this survey were used to support the establishment of the Provost's first annual Risk Register. Risk Management will continue to work with the Provost to establish mitigation strategies during the 2021-2022 interim Risk Register review.

**The Risk Register for High, Extreme, and Foundational Risks:** No Extreme Risks were identified in the past year. SLT met to discuss the high, extreme, and foundational risks. During this discussion, two (2) high risks were moved from "High" to "Medium" due to the successes of the Risk Owner, risk controls and recent mitigation strategies implemented. These risks were owned by the USGC and include: 1) Risks associated with failing to manage controlled goods (now mitigated by a full review and current development of a policy and procedures); and 2) Risks associated with an increasingly litigious environment.

There are seven (7) remaining high risks and two (2) foundational risks reported. The seven (7) high risks were captured as follows:

**Risk Owner: All Faculties and ACE**
- Risks associated with equipment failure, requiring replacement or repair.

**Risk Owner: Human Resources**
- Risks associated with a lack of training and support for front line staff addressing mental health issues;
- Risks associated with the failure to maintain effective labour relations; and
- Risks associated with the failure to implement, monitor, and maintain infrastructure enabled to prevent or mitigate workplace accidents and injuries.

**Risk Owner: University Secretary and General Counsel**
- Risks associated with information governance;
- Risks associated with disruption causing impairment to the University's operation and Information Technology's (IT) infrastructure; and
- Risks associated with failing to negotiate, manage, and implement contracts.

**Operational Risks:**

Of the sixty-three (63) operational risks identified, fifty-four (54) of these risks were calculated as Medium, seven (7) as High, and two (2) as Foundational. Four (4) low risks were retired. Low risks are considered local to the operation and, therefore, not included in the Annual Risk Management Report for 2020-2021. There were no institutional risks that could be retired.

During the 2020-2021 review, twenty-eight (28) controls and nineteen (19) new mitigation strategies were added to the registers in an effort to prevent, reduce, mitigate, or resolve risk at the University. Several of the mitigation strategies established in the previous 2019-2020 year were updated to reflect the current risk landscape.

There are four (4) institutional risks that produced a lot of discussion with Risk Owners across the University, which resulted in multi-departmental risk discussions. These are:

- Risks associated with Equity, Diversity, and Inclusion (EDI)
- Risks associated with information technology and cyber security
- Risk associated with privacy and access control
- Risks associated with employee mental health

EDI was carved from the Human Resources Risk Register and is now primarily owned by the Provost, (as a Director of EDI was hired by the Provost in the summer of 2020) although all Risk Owners are expected to include an EDI-related risk relevant to their unit/faculty.

Information technology risk continues to increase in likelihood and consequence as the universities across the sector are struck with cyber-attacks, hackers, and ransom demands. To address these external realities, Ontario Tech and Durham College hired a Director, Information Technology.

**Continued Simplification and Synthesis:** Since the risk team first cast a wide net to identify operational risks in 2015, work has been done to identify risk patterns, categories and overlaps. This has resulted in fewer listed risks. In continuation of the simplified exercise developed in 2016-2017, the risks in 2020-2021 are categorized as follows:

| Risk Domain | Reported Risks 2015-2016 | Risks after Synthesis and Reorganization | 2017-2018 Synthesized Risks | 2018-2019 Synthesized Risks | 2019-2020 Synthesized Risks | 2020-2021 Synthesized Risks |
|---|---|---|---|---|---|---|
| Operational | 165 draft risks | 57 draft risks | 39 Risks | 41 Risks | 41 Risks | 41 Risks |
| Financial | 36 draft risks | 13 draft risks | 7 Risks | 7 Risks | 7 Risks | 7 Risks |
| Reputational | 12 draft risks | 3 draft risks | 3 Risks | 3 Risks | 3 Risks | 3 Risks |
| Compliance | 40 draft risks | 18 draft risks | 10 Risks | 12 Risks | 12 Risks | 12 Risks |
| Total: | 253 | 91 | 59 | 63 | 63 | 63 |

**New and Emerging Risks:** There were no new institutional risks to report during this review. It should be noted that pandemic planning and infectious disease was already captured as a risk on the university's institutional risk plan.

Risk mitigation discussions continue between Risk Management and Risk Owners. The list of Operational Risk Owners is attached as Appendix D.

### vii. Senior Leadership Team

The President and SLT are charged with setting the appropriate "tone at the top" to support risk management and they continue to oversee the implementation of risk management within their areas and ensure commitment to reporting risk activity.

The President demonstrates consistent, strong and engaged commitment to risk management activities, with a particular focus on foundational and strategic risks. There continues to be a clear appreciation and demonstration of SLT support toward the URM. SLT engages in discussions about Strategic Risk and risks associated with the university's operations. The connection between Strategic Risks and Operational Risks has been finalized.

Over the 2020-2021 academic year, and specifically relating to the COVID-19 response, Senior Leaders and other members of the university have embraced risk and have demonstrated risk informed decision making in our response to risks that resulted from the pandemic.

It is our observation that the risk culture is shifting. Risk strategy has started to become a point of discussion during the planning phases of projects, construction, return to campus planning, research activities, and return to play.

The goal of risk management is to create a culture in which risk informs decision making. Because of the President's leadership, this is happening. Risk discussions have been collaborative. Risk is a focus in decision-making process as it relates to budget and finance and in the development of strategic plans.

Establishing the university's risk appetite has been deferred to 2021-2022.

### viii. Risk Management Committee

The Risk Management Committee (RMC) was struck to oversee the successful integration and execution of URM with direct reporting responsibility to the Board of Governors. Committee members are chosen based on their skill set and functional knowledge. In the 2020-2021 academic year, the RMC was charged with conducting regular meetings to discuss risk and risk management with a focus on the integration of risk management best practices. The committee was engaged toward the latter end of the pandemic, as the COVID-19 Task Force focused on immediate and emerging operational needs. The committee provided feedback on the university's overall response.

In 2020-2021, the Risk Management Committee provided some input risk management directives and policies such as the Volunteer Policy and Procedures, Informed Consent documents, and Travel Waiver forms.

The RMC is composed of the following individuals from across the University:

Jacquelyn Dupuis (Chair and Director of Risk Management), Paul Bignell (IT), Matthew Mackenzie (External Relations), Candi Gogar (Research), Alison Baulk (Finance), Stephen Thickett (Student Life), Tyler Frederick (FSSH), Connie Thurber (FHS), Tanya Mayorga (OCIS), Julie Day (Human Resources), Carolyn Yeo (International), and Maureen Calhoun (Health and Safety).

In 2020-2021, the RMC met four times.

### a. Measure 2: Does URM have an Assigned Leader?

Yes. While the President retains overall risk responsibility, URM leadership is assigned to the University Secretary and General Counsel, an executive who reports to the President. Advancing URM was a primary objective in 2020-2021 and will continue as a priority for the University Secretary and General Counsel.

### b. Measure 3: Has the Board discussed the top strategic and operational risks facing the University?

Yes. The President has engaged the Board in discussions about the foundational and strategic risks at each board meeting. Under the leadership of the Provost and Vice President Academic and the VP Research, the university has adopted and implemented an Integrated Academic Research Plan (IARP). This plan is aligned with the President's strategic priorities. The Board has received regular progress updates to the status of the IARP. Board discussions of strategy include discussions of risk. The pandemic has created an opportunity to review the existing operational risks and strategic risks through the lens of the pandemic. We will continue to see a focus on risk as we look to implement processes and protocols through lessons learned this past year.

c.   **Measure 4:  URM is a part of A&F Work Plan and Board annual discussion.**

Yes.  URM is part of the 2020-2021 Audit and Finance Work Plan. There are regular discussions and reports presented on risk management and insurance as noted in the attached confidential Attachment 3.

The Audit and Finance Committee received reports on risk on November 25, 2020, February 17, April 14, and June 16, 2021, respectively. The Board has received reports quarterly from the Chair of the Audit and Finance Committee.

d.   **Measure 5:  Has Ontario Tech provided Board training sessions about University risk?**

Yes.  In addition to the general discussions about risk, Board professional development sessions typically focus on risk areas for the University.  In the 2020-2021 academic year, the Board was provided the opportunity to ask questions about the university's strategies and strategic role surrounding research on campus, funding and budget development, fiscal sustainability, and the university's response to EDI. The Board Orientation/Education Work Plan can be found under confidential Attachment 4.

e.   **Measure 6:  Board assessment of URM Activity.**

At the Annual General Meeting (AGM) each year, the Board receives an annual report and is asked to comment on the progress of URM.  The purpose of this 2020-2021 report and the COVID-19 Special Report is to secure the Board's comment and direction on URM progress in 2021-2022.

## PART III – GOING FORWARD

### 4.   2020 – 2021 GOALS AND OBJECTIVES

Advancement of the goal of embedding URM into a higher education culture is evidenced by the integration into strategic and planning processes. Integrated URM will foster the desired risk-informed culture across the University.  Accountability and ownership are important factors, critical to move the URM forward.

The focus for 2021-2022 objectives:

1. Strategic and Foundational Risks:
   a. Continue to work to address strategic risks to the university with a focus on the President's five strategic priorities;
   b. Continue to focus on university sustainability initiatives;
   c. Continue to engage the Board and its Committees in strategic and strategic risk discussions.
2. Risk Management Implementation:
   a. Enhance the existing risk work tools and establish new processes and procedures that include the COVID-19 response; and
   b. Continue to support Risk Owners reporting on risk work.

3. Insurance Implementation:
    a. Continue to support the university community by developing insurance related tools, applications, and educational resources; and
    b. Establish a plan with our campus partner Durham College related to cyber insurance, and security related incidents.

| **Office of Risk Management** (Chief Risk Officer and Director of Risk Management) |
|---|
| Support SLT and the Board in developing a plan to assess the University's risk appetite |
| Put in place an action plan associated with the lessons learned and suggestions presented in the COVID-19 Special Report, guided by the URM |
| Establish a Capstone Project for a Risk Management Dashboard |
| Continue to enhance and push the strategic and foundational risk planning forward alongside the operational risks |
| Continue to develop policies for Foundational Risks, establish a work plan and directives supporting the University Continuity policy |
| Prepare the 2021-2022 Annual Risk Report to the Board and Audit and Finance Committee |
| Work with Academic Council to scope its potential role in risk management |

| **Senior Leadership Team** |
|---|
| Maintain the Tone at the Top – Continue to demonstrate support for the implementation of URM |
| Use the strategic risk-focused response to the pandemic to demonstrate to the university how to manage strategic risk |
| Support the development of a university risk appetite that reflects the university's increased risk maturity |
| Continue to push the Strategic , Foundational, and Operational Risk plans forward with a particular focus on clarifying the strategic risks and associated risk mitigation plans |

| **Risk Management Committee** |
|---|
| Conduct regular meetings to discuss risk and risk management, and focus on implementing 'lessons learned' from COVID-19 response |
| Continue to engage in monitoring and approving risk policies and directives associated with the URM , as well as continue research regarding risk appetite within the PSE |
| Establish risk education and awareness training, and identify areas within the committee members peer groups to attend these training sessions |

## 5.  CONCLUSION

Please refer to the letter of the Chief Risk Officer for the summary and highlights of this Report.

**Appendix A – Risk Management Policy**

| Classification | LCG 1116 |
|---|---|
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary |
| Approval Date | June 18, 2014; Editorial amendment January 17, 2019 |
| Review Date | January 2022 |
| Supersedes | |

**RISK MANAGEMENT POLICY**

**PURPOSE**

**1.** The purpose of this Policy is to establish the foundation for a University Risk Management ("URM") program which ensures that Risk management is an integral part of the University's core strategy and integrated into all key activities and/or functions. The URM program establishes a Risk management framework which will provide a proactive and consistent approach to ensuring that Risk is considered when decisions are made at all levels of the organization and, in turn, assists the University to operate within its capacity and willingness to take Risk. The URM program further establishes a commitment to raise awareness surrounding Risk management and provide guidance to all levels of the University.

**2.** **Objectives:** The overall objectives of the Risk Management Policy are to:

    **2.1.** Formalize a consistent approach to identifying, assessing, measuring, managing communicating and mitigating Risks to the University's strategic plan and priorities and to the University's operations in an effort to reduce uncertainty; and

    **2.2.** Assist the University to make better informed decisions and promote accountability for Risk management with stakeholders and University Members at all levels.

**DEFINITIONS**

**3.** For the purposes of this Policy the following definitions apply:

**"University Risk Management ("URM")***"* means a consistent, coordinated, integrated approach to identify, assess, measure, manage, communicate and mitigate significant and material Risks to the University achieving its strategic objectives

"**Risk**" means the uncertainty of outcomes against planned objectives.  This concept can be applied to strategic objectives as well as all operational activities within the University.  While the application of the definition may change with different University Members, the concept should not change.

**"Risk Assessment"** means a formalized, systematic ranking and prioritizing of identified Risks, using a likelihood/consequence framework.

**"Risk Appetite"** means the University's willingness to accept Risk.  Risk Appetite may also be viewed as the acceptable deviation from expected outcomes.

 **"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.

## SCOPE AND AUTHORITY

**4.** This Policy applies to all University Members and extends to all functions and activities.

**5.** The University Secretary, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

## POLICY

This Policy and the associated documents will describe the specific responsibilities for those groups and individuals expected to support the implementation and maintenance of the URM program.  In addition, all University Members are expected to support the management of Risk and the success of the URM program at the University.

**6.** **Risk Framework**

    **6.1.** Effective Risk management across the institution will result in increased stability, safety and security and prosperity for University Members. This Policy and the associated documents create the Risk management framework developed specifically to fit the governance structure and culture of the University.  The framework is aligned with the strategic priorities of the University and incorporates leading practices, tailored to the University's needs and culture.

**6.2.** The framework is intended to support the University in identifying, assessing, measuring, managing, reporting and mitigating significant and material Risks. The ultimate goal of the framework is to assist the University in achieving its strategic priorities and operational objectives through better management and understanding of Risk.

**6.3.** The framework provides:

- Formalized process and approach to executing URM;

- Clearly defined accountabilities for execution of URM;

- Improved Risk management communication; and

- Consistency in Risk management.

**7.** **Risk Governance Structure**

**7.1.** **Oversight:** The responsibility to oversee the University's URM program resides with the University's Board of Governors ("Board"). The Audit and Finance Committee is delegated to carry out this oversight responsibility on the part of the Board and to report annually to the Board on the status of the URM.

**7.2.** **Direction:** The University's President and Vice-Chancellor is responsible to provide direction to ensure the University's strategic priorities remain the ultimate focus of all University Members.

**7.3.** **Risk Parameters:** The Risk Appetite will be determined by the University's President and Vice-Chancellor along with the Senior Leadership Team ("SLT") and ultimately approved by the Board. The Risk Appetite will be reviewed no less than once annually.

**7.4.** **Risk Owners:**

**a)** **Chief Risk Officer:** The University's President will designate a member of SLT to serve as Chief Risk Officer. The Chief Risk Officer will, among the members of the SLT, have responsibility for the coordination of SLT's Risk management activities. The Chief Risk Officer will act as primary advisor on Risk to the Board and to the President and Vice-Chancellor. The Chief Risk Officer will serve as Chair of the University's Risk Management Committee ("RMC") and will have accountability for that Committee's work.

**b)** **Senior Leadership Team ("SLT"):** SLT as a group is responsible for the management of all institutional and operational Risks, the overall success of URM, and the integration of the URM program into the core operational and strategic decision framework of the University. Individual members of the SLT will act as the primary owners of Risks and Risk management at the University. Each SLT member will delegate responsibility for Risk management to functional leaders within that SLT member's area of responsibility.

**c)** **Administrative Leadership Team (ALT):** ALT will act in an advisory role in respect of various aspects of the URM program. ALT will work to ensure

that the URM program is integrated into the planning work of the University.

8. **Risk Management Committee ("RMC")**

**8.1.** The Risk Management Committee will hold responsibility for the successful integration and execution of the URM framework. Operational implementation and maintenance of the URM program will be conducted with oversight and guidance from SLT. The Committee will also be responsible for facilitating the Risk identification and Risk Assessment process at the Senior Leadership Team and functional leadership levels, consolidating that information and finalizing the institutional Risk profile for the Board. This committee will be a skills-based committee comprised of individuals who are best able to help the University fulfil its URM objectives.

9. **Statements of Principle**

The University adopts the following statements of principle for application in the implementation of this Policy:

**9.1.** **Risk Culture:** The University is committed to fostering a culture of Risk ownership throughout the University. This does not mean that we avoid engaging in activities that have Risk or that we avoid Risk in our teaching and research and other activities we undertake for the University. It is recognized that both strategic and operational decisions and the work undertaken by University Members, all inherently involve Risk.

To the University, having a culture of Risk ownership means that:

a) Strategic and operational decisions are made with full awareness of the Risks relevant to those decisions;

b) All University Members are aware of the organization's emphasis on URM incorporate a proactive approach and awareness to managing Risk in their individual roles.

**9.2.** **Communication:** A key principle of a successful URM program is regular communication. The Board and Senior Leadership Team are committed to developing a communication plan to ensure that those who require information to support the URM program receive it. The University's Risk Management Policy, goals and objectives will be made available to all University Members and it will be expected that each member reads and understands the Risk management philosophy and outlined framework.

**9.3.** **No Reprisal:** The University will not discharge, discipline, demote, suspend, threaten or in any manner discriminate against any officer or employee based on any good faith and lawful actions of such employee to responsibly and carefully report Risk issues using the channels provided by the University.

**9.4.** The University is committed to academic freedom.

**MONITORING AND REVIEW**

**10.** This Policy will be reviewed as necessary and at least every three years.  The Risk Management Committee, or successor thereof, is responsible to monitor and review this Policy.


**RELEVANT LEGISLATION**

**11.** This section intentionally left blank.


**RELATED POLICIES, PROCEDURES & DOCUMENTS**

**12.** University-Hosted Event Risk Management and Approval Directive

Field Trip Risk Management and Approval Directive

Risk Management Committee  Terms of Reference

# Appendix B



# COVID-19 RISK MANAGEMENT SPECIAL BOARD REPORT

## Executive Summary

This report summarizes and highlights the role University Risk Management "URM" played in the university's response to COVID-19. The Board of Governors' responsibility is to measure the progress of the URM. While this report is being generated by the Office of University Risk Management, the COVID response was a true collaborative and team effort.

The URM framework supported an effective response to a pandemic as it fosters a holistic approach to identifying, analyzing, evaluating, and treating risk and risk-related activities.

## Many Thanks and Appreciation

Ontario Tech employees rose to the COVID-19 challenge.  While we believe the university risk management framework provided an excellent foundation, the effective pandemic response was attributable to a huge amount of effort and good will on the part of the entire community.  The President continued to demonstrate strong risk leadership through his engagement in strategic and foundational risk management thought leadership, and through his support for the many COVID-related operational risk activities. Dr. Lori Livingston demonstrated strong risk leadership as she led the academic community's operational response to COVID. We also want to take the opportunity to acknowledge the following individuals whose efforts over this last year contributed to effectively managing risks arising during the pandemic:

| | | |
|---|---|---|
| Susan McGovern | Nicola From | Melissa Gerrits |
| Brad MacIsaac | Scott Barker | Carolyn Yeo |
| Jamie Bruno | Jessica Salt | Lorrie Henning |
| Melissa Levy | Tim Watson | Joint Health and Safety |
| Thomas Bezruki | Cheryl Lumley | Committee |
| Ken Bright | Eric Sauerteig | Research Task Force |
| Maureen Calhoun | Jen Clarke | Joint COVID-19 Operations |
| Francis Arnaldo | Niall O'Halloran | Task Force |
| Krista Hester | Corrina D'Allessio | |

As the Director of Risk Management, and co-author of this report, Jacquelyn Dupuis is not mentioned above.  However, the senior leadership team would like to ensure that Jackie's significant contribution is recognized. Thanks very much Jackie.  The university benefitted from everyone's continued efforts and dedication.

**Background**

Before the pandemic was officially declared, Risk Management worked with university Risk Owners to update their existing Pandemic Plans to ensure they aligned with the current operational environment. This work provided a critical foundation for the university's response to the pandemic. Within the first few weeks of the pandemic being declared:

● The President quickly recognized the impact of COVID-19 on the University's sustainability (a previously-identified foundational risk), and the strategic implications of the new normal forecasted to arrive post-COVID. In response, the President worked closely with the Board, SLT, and the university community to articulate the need for and elements of a bold vision for a post-COVID Ontario Tech University. The President identified for the community key risks arising from COVID: 1) enrolment; 2) a need for a clear and differentiated value proposition, and; 3) the need to manage accelerated change and uncertainty in learning and working.

● Under the leadership of the Provost and the AVP Planning and Analysis, developed planning task forces/committees with specific terms (Pandemic Response Team, Community Advisory Task Force, E-Learning Task Force, Engagement and Well-Being Task Force, First-Year Student Transition Task Force, Remote Work Task Force, International Task Force, Re-Opening Workplace Group, COVID-19 Operations Taskforce ("OTF"), Return to On-Campus Research Task Force)

● Developed Assumptions, Guiding Principles, and a Return to Campus Framework Plan to establish clear expectations for the broader university community to understand how decisions were made and what to expect while on campus.

**Response**

During the recovery and transitioning phase from a global pandemic, the university's primary return to campus objectives were to continue to deliver on the university's academic and research mission, prioritizing all community members' health, safety, and well-being. To support these objectives, a series of activities and collaborations took place:

| Meetings | Activities |
|---|---|
| - Twice weekly OTF meetings<br>- Biweekly meetings with Durham Region Public Health<br>- Monthly Joint Health and Safety meetings<br>- Twice weekly PRT meetings<br>- Joint institution meetings weekly | - Over 75 Resumption of Activity plans reviewed and approved<br>- Over 75 on-campus risk assessments against COVID-19 restrictions;<br>- Over 35 Research activity assessments;<br>- Over 15 COVID-19 hazard reviews<br>- Over 100 presumptive case management cases |

| Interdepartmental Collaborations | |
|---|---|
| - Research Ethics Board on F2F research<br>- Human Resources on benefits messaging<br>- COVID-19 PPE research and development initiatives | - Information Technology on technological initiatives<br>- Communications and marketing on signage, language<br>- Operational activities for vaccination site |

The university developed a series of tools, resources, and documents to support the orders mandated by government ministries and legislation. These resources and tools include:

- Pandemic Planning template
- Finalized 25 Pandemic Plans
- Curbside pick-up processes
- Set physical distancing capacity numbers
- Visitor on campus Informed Consent
- Parking lot signage
- COVID-19 Reporting Protocol
- Return to Campus Plan
- Essential activities/essential services defined
- COVID-19 Emergency Preparedness Plan Assistance Webpage
- Laboratory Space Planning and Distancing Guideline
- Start-up and Shut down checklists
- Resumption of activity document
- Biosafety & Radiation Laboratory COVID-19 Emergency Preparedness Plans
- Signage, decals, queue support
- Research Approval process

- Delegated Authority for SLT coverage
- Confirmed University Continuity Leads
- International Travel Waiver
- Contractor Protocol/Scope of Project
- Mask Directive
- Campus Access Protocol
- Frequently Asked Questions
- Environmental Cleaning and Disinfection protocol
- COVID-19 Screening
- Request to Initiate Lab Research document
- Return to on-campus research application
- Guidelines for Working on campus
- COVID Training for university members
- Ontario Tech COVID-19 Safety Plan
- HVAC checklist (Mechanical enhancement review)
- Created email templates and email inquiry address
- Bulk ordering requests of covid supplies
- COVID-19 Response Webpage

**Re-imagined Future, Maintaining URM as a Priority**

As we move toward establishing an innovative new normal, URM must continue as a priority, focusing on some of the following key areas:

*Strategic Risk:* Understand and address the changing strategic risks in a post-COVID world in which we face enrolment challenges, the need for increased differentiation, and the need to manage and navigate significant changes in teaching/learning, the model of work, and technology.

*Foundational Risk:* Maintain focus on and find ways to mitigate significant financial uncertainty and ensure financial sustainability.

*Policy, Regulatory and Legal Risk:* Understand policy, regulatory, and legal implications of COVID-19 on the new ways of working, and adjusting policies, as required.

*Privacy & Security Risk:* Remote working arrangements have increased our cyber risk, as sensitive university information is being accessed at home, as well as the digitization of services.

*Travel & Mobility Risk:* Addressing new requirements and realities for travel will be necessary including changes to processes and programs, such as the existing crisis management response.

*Procurement & Vendor Management Risk:* Assess supply chain management, disruption, re-evaluate how the vendor landscape has changed, review existing contracts and protocols, and continue to cultivate good relationships with vendors.

*Community Support and Partnership Risk:* Our community engagement enhances our reputation and sets us apart from other universities in the sector. We must continue to return to the foundations of risk and risk assessment when engaging with community partners.

*Insurance (Financial Risk):* Risk Management will continue to monitor the ongoing insurance landscape for opportunities in infectious disease coverage.

*Business Continuity Risk:* The pandemic has taught us the importance of a solid yet fluid plan when responding to infectious diseases. A culture of preparedness is paramount in response to a crisis and the need for an effective continuity plan. The university will continue to finalize all aspects of the policy, including formalizing a Business Impact Assessment to determine continuity across the institution.

*Risks associated with a Lack of an effective Emergency Response:* Command centers/cross-functional teams will be critical for managing the next wave of coordinated response efforts in anticipation of another wave or another emergency.

*Risks associated with Agility and Resilience:* Leaders must safeguard university agility and build resiliency into planning to respond to potential next waves and to ramp up (or down) as needed. We must continue to identify creative responses to future challenges.

*People Risk:* The pandemic brought along enormous operational changes and subsequent workplace challenges. During the pandemic, the term "COVID fatigue" has become a concern in the workplace. COVID has created stress, anxiety, concern, and distractions. The risks associated with people and their respective well-being are significant.

## Next Steps

The President will maintain his focus on strategic and foundational risk and will actively engage the board in these topics. From an operational perspective, Risk Management will continue to provide operational guidance, supported through the URM and University Continuity Framework. The annual Risk Register reviews will be used to drive some of the risk work identified above.

Appendix C – 2020-2021 Operational Risk Owners

## 2020/2021 University Risk Owners – Operational

| SLT Member | Department Risk Registers | Risk Owner |
|---|---|---|
| Steven Murphy | ACE | John Komar |
| Brad MacIsaac | Finance | Brad MacIsaac |
| | Office of Campus Infrastructure and Sustainability | Ken Bright |
| | Regent Theatre | Kevin Arbour |
| | Office of Campus Safety | Tom Lynch |
| | Information Technology | Paul Bignell |
| Cheryl Foy | University Secretary and General Counsel | Cheryl Foy |
| Susan McGovern | External Relations and Advancement | Susan McGovern |
| Les Jacobs | Research | Jennifer Freeman |
| Lori Livingston | Provost's Office | Lori Livingston |
| | Registrar | Joe Stokes |
| Jamie Bruno | Human Resources | Jamie Bruno |
| | Library | Catherine Davidson |
| Langis Roy | Office of Learning Innovation | Catherine Drea |
| | Student Life | Stephen Thickett Scott Barker |
| | Teaching and Learning Centre | Susan Forbes |
| ALT Members | Faculty Risk Registers | Risk Owner |
| | School of Graduate and Postdoctoral Studies | Langis Roy |
| | Business and Information Technology | Michael Bliemel |
| | Education | Robin Kay |
| | Energy Systems and Nuclear Science | Akira Tokuhiro |
| | Engineering and Applied Science | Hossam Kishawy |
| | Health Sciences | Carolyn Rodgers |
| | Science | Greg Crawford |
| | Social Science and Humanities | Peter Stoett |

# Appendix D – Hierarchy of Controls

## Minimizing Risk on Physical Campus: Hierarchy of Controls

Using a hierarchy of controls as a response framework to mitigate risk, functional units can take a range of actions—weighing the effectiveness and financial impact of each—to combat COVID-19 in their areas.

**Effectiveness of Control**            **Example**

**Level of Impact** (High → Low)

**Elimination of Exposure** — Study/work-from-home policies; stay at home if you're sick.

**Substitution Of Activities** — Only workers in critical roles return. They do not perform any non-critical duties while on campus.

**Engineering Controls of Spaces** — Increase building ventilation, and physical barriers such as plexiglass and cordoned walkways.

**Administrative Controls** — De-densify workspaces, and institute physical-distancing policies, unidirectional walk paths, signage, personal hygiene, and enhanced cleaning.

**PPE** — Proper use of gloves and face shields. **Note:** This does not include masks/face coverings, which **have not been proven to protect the person wearing them.**

**Effectiveness of Control**
High ⟵⟶ Low ⟵⟶ High

Elimination of exposure should always be considered first while PPE should only be implemented after all other controls have been exhausted. In the cases of COVID-19 controls, where 2m distancing can not be maintained, workers and employers may also consider using face coverings as an additional public health measure for source control in addition to mandatory occupational health and safety measures.

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# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**     **Board of Governors**

**DATE:**     **June 24, 2021**

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

**SUBJECT:**     **Review of Committee Structure**

**COMMITTEE MANDATE:**
- In accordance with its Terms of Reference, GNHR is responsible for providing advice to the Board of Governors on its governance structure and processes, which includes advising the Board on matters pertaining to the organization of the Board of Governors and its committees.
- We are seeking the Board's approval of the proposed changes to the Board's committee structure and the committees' Terms of Reference.

**BACKGROUND/CONTEXT & RATIONALE:**
- A review of the Board's committee structure was included on GNHR's 2020-2021 work plan.
- GNHR is continuously assessing governance issues, including the efficient use of members' and management's time and resources, effective decision-making, and the engagement and interest of members.
- The committee had a preliminary discussion regarding committee structure at their meeting in January.
- Some considerations identified to assist with the review were:
  - continued improvement of governor engagement;
  - increased focus on strategy;
  - appropriate distribution of workload across committees;
  - streamlining of committee and meeting structure;
  - best use of the Board members' capability and experience; and
  - ability of governors to fulfill their fiduciary obligations.

- Having reviewed and considered the mandates of the committees, keeping the above factors in mind, we are recommending changes to the Board's committee structure and updates to the committees' Terms of Reference.

**RECOMMENDATIONS:**

1. ***Merge the Investment Committee with the Audit & Finance Committee.***
    - The Investment Committee is a subcommittee of the Audit & Finance Committee and must bring recommendations to the Audit & Finance Committee for approval.
    - This often leads to the duplication of discussions and efforts with respect to the university's investment and disbursement of its endowment funds, which may result in committee members becoming mired in details instead of playing a more strategic oversight role.
    - The merger of the committees would help streamline the Board's committee and meeting structure.
    - It would also assist with more timely decision-making with respect to the university's investment portfolio as the investment manager's recommendations would be presented directly to the Audit & Finance Committee for approval.

2. ***Transfer oversight of capital projects from the Audit & Finance Committee to the Strategy & Planning Committee.***
    - With the shift of oversight of the investment portfolio to the Audit & Finance Committee, this would help distribute the workload more evenly among committee.
    - This would also align with the Strategy & Planning Committee's responsibility for the oversight of 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, which includes reviewing plans in the area of infrastructure.

3. ***Add role of Vice-Chair to the Terms of Reference for all committees.***
    - Starting in 2019, in an effort to identify potential leadership successors and to ensure the committee chairs have support, governors were identified to serve effectively as committee vice-chairs.
    - Formalizing the role of committee vice-chair will provide additional leadership opportunities for Board members, provide committee chairs with additional support, and assist with succession planning.
    - The committee vice-chair will serve as back-up for the committee chair when unavailable and the committee chair will serve as a mentor to the vice-chair.

4. ***Increase elected member composition for the Strategy & Planning Committee to 4***
    - Historically, the Strategy & Planning Committee has usually been the committee of preference for elected governors.

- The current Terms of Reference for the Strategy & Planning Committee limits the number of elected governors to three (3) and there are four (4) elected governors on the Board.
- This change would allow all elected governors to serve on the Strategy & Planning Committee.

5. ***Update the membership composition of the Audit & Finance Committee to include only external governors.***
    - Currently, the Audit and Finance Committee's Terms of Reference allows for up to three (3) elected (internal) governors.
    - It is best practice to have a Board's audit committee composed of only external Board members to allow for independent oversight of the university's financial reporting and audit practices.

**CONSULTATION:**
- The proposed changes in the report are supported by the senior leadership team, the committee chairs, and the Board Chair.

**MOTION:**
*That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the proposed committee structure and the changes to the committees' Terms of Reference, as presented.*

**SUPPORTING REFERENCE MATERIALS:**
- blacklined versions of the Committees' Terms of Reference

**BOARD OF GOVERNORS**
**Audit and Finance Committee**

_____

**1.    TERMS OF REFERENCE**

The Audit and Finance Committee is a standing committee of the university's Board of Governors and is responsible for overseeing the financial affairs of the university with respect to all auditing, financial reporting and internal systems and control functions, budget approvals, investment of the university's endowment funds, risk management, and other internal and external audit functions and activities at the university.  The Committee will report and make recommendations to the Board of Governors regarding these and other related matters.

The Committee shall will also consider such other matters that are delegated to the Committee by the Board of Governors, including special examinations as may be required from time to time, and if appropriate retain special counsel of experts to assist.

Specifically, the Audit and Finance Committee shall have has the following responsibilities:

**a.    Finance**

  i)    Ensuring fiscal responsibility with respect to the financial resources of the university, including:

  1)  Reviewing and recommending approval of the annual operating budgets, capital budgets, tuition fees and ancillary fees;

  2)  Reviewing on a quarterly basis financial statements and financial performance against budget;

  3)  Reviewing policies on financial administration and recommending their approval by the Board;

  4)  Reviewing and monitoring all long-term debt and providing recommendations as appropriate; and, and

  4)5)    Providing financial oversight for subsidiary operations.

  5)    ~~Providing financial oversight for major capital projects, auxiliary operations, and structures.~~

**b.    Audit and Financial Reporting**

i)      Ensuring that appropriate financial controls, reporting processes and accountabilities are in place at the university, including:

     1)   Appointing the external auditor, and approving the fee for such service;

     2)   Reviewing the external auditor's letter of engagement, independence, and the scope of services;

     3)   Reviewing the external auditor's comprehensive audit plan, scope of the examination, and the nature and level of support to be provided by the internal audit function;

     4)   Meeting with the external auditor, independent from management, to review audit results and when planning the upcoming audit year;

     5)   Assessing the performance of the external audit function; and

     6)   Providing an avenue of communication between the external auditor, management and the Board of Governors.

ii)      Reviewing and recommending to the Board approval of the university's annual audited financial statements, as well as reviewing significant findings or recommendations submitted by the external auditor.

iii)      Overseeing the provision of internal and external audit functions at the university, including annual reviews, area specific evaluations, functional assessments and process appraisals.

**c.**      **Oversight of the Investment of the University's Endowment Funds**

i)      Overseeing the investment of the university's endowment funds in accordance with the university's Statement of Investment Policies ("SIP").

ii)      Overseeing the performance of the Investment Manager, including the Investment Manager's compliance with their mandate.

iii)      Providing recommendations to the Board of Governors regarding the SIP and the selection, engagement and dismissal of the Investment Manager, and any other agents or advisors that may be necessary to prudently manage the university's endowment funds.

iv)      Overseeing the administration of the university's endowment funds by the VP, Administration.

**d.**      **Risk Management**

i)      Reviewing and approving the risk management process at the university that ensures that appropriate processes are in place to determine management's risk parameters and risk appetite.

ii)      Monitoring and ensuring that appropriate processes are in place to identify, report and control areas of significant risk to the university and ensuring that

appropriate mitigative actions are taken or planned in areas where material risk is identified.

iii)     Receiving regular reports from management on areas of significant risk to the university, including but not limited to legal claims, development (fundraising activities), environmental issues, health, safety and other regulatory matters.

## 2.     MEETINGS

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

## 3.     MEMBERSHIP

The Committee ~~shall~~will be composed of:

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

The Chair and Vice-Chair of the Committee will be selected from among the external governors.

At least one member of the committee will~~shall~~ have an accounting designation or related financial experience.

All members of the committee ~~shal~~will~~l~~ be financially literate and have the ability to read and understand the university's financial statements, or must be able to become financially literate within a reasonable period of time after his/her appointment to the Committee. In this regard, the ~~Chief Financial Officer~~VP, Administration or other financial expert will ensure that each new member receives appropriate training in reading and understanding the financial statements.

## 4.     QUORUM

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

**BOARD OF GOVERNORS**
**STRATEGY AND PLANNING COMMITTEE**

**1.    Terms of Reference**

The Strategy and Planning Committee is a standing committee of the 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~~will 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.

The Committee will also oversee the sale or acquisition of real property, including any major renovation or construction projects.

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

**2.    Meetings**

The Committee ~~shall~~will meet at least four (4) times per year, or otherwise at the Committee's discretion.  In accordance with the university's Act and the Board of Governors Meeting Policy and Procedures, the Committee ~~shall~~will conduct three types

Commented [BD1]: Language aligns with language in A.1 of Approval Authority Registry in the Expenditure Signing Authority Procedures

of Meetings as part of its regular administration:  Public, Non-Public and *In Camera* (when required).

**3.    Membership**

The Committee ~~shall~~will be composed of:

- Between three (3) and seven (7) external governors
- Up to ~~three~~ four (~~3~~4) elected governors

The Chair and Vice-Chair will~~shall~~ 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**
**Governance, Nominations and**
**Human Resources Committee**

_____

## 1.    TERMS OF REFERENCE

The Governance, Nominations and Human Resources Committee is a standing committee of the 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 will~~shall~~ also consider such other matters that are delegated to the Committee by the Board of Governors.

Specifically, the Governance, Nominations and Human Resources Committee ~~shall~~will 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 university's Act and By-Laws.

- Periodically reviewing the 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 university's Act and By-laws. In doing so, the Committee ~~shall~~ will 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(s) from among the external governors of the Board.
- Assessing the leadership needs of the Board, and in consultation with committee chairs, recommend cChair, Vice-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 will meet at least four (4) times per year, or otherwise at the Committee's discretion.  In accordance with the university's Act and the Board of Governors Meeting Policy and Procedures, the Committee willshall conduct three types of Meetings as part of its regular administration:  Public, Non-Public and *In Camera* (when required).

### 3.   MEMBERSHIP

The Committee willshall be composed of:

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

The Chair and Vice-Chair will be selected from among the external governors.

### 4.   QUORUM

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

# 2020-2021 Board Practices Assessment Results Summary

**Presented to:**   Board of Governors

**From:**   Governance, Nominations & Human Resources Committee

**Date:**   June 24, 2021

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# Agenda

- Assessment Format
- Results
- GNHR Direction for 2021-2022 Board Priorities

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# Assessment Format

- As directed by GNHR, the 2020-2021 Board Practices Assessment was conducted through the OnBoard portal

- **21/21** governors completed the assessment - **100%** compared to the 84% response rate of 2019-2020

- the response rate was 80% for 2018-2019, 87% for 2017-2018 (conducted by e-mail), 83% for 2016-2017 (conducted by e-mail), 90% for 2014-2015 (conducted by online poll immediately prior to a Board meeting) and 46% for 2013-2014

- the 2015-2016 online poll assessment was not conducted due to timing constraints at meetings

# Key Themes of Assessment Results

- 100% response rate indicative of a highly engaged Board

- Board and Committee assessment ratings are consistent with the previous year's results

- Opportunity to strengthen engagement with Academic Council (e.g. additional education and communication, joint event)

- Continue to work to strike a balance between Board's oversight responsibilities and strategic discussion

- Encourage active engagement of all Board members

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# Board Effectiveness

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 1. The Board as a whole has a clear understanding of the University's mission. | 8 (38%) 9 (60%) | 12 (57%) 5 (33%) | 0 1 (7%) | 1 (5%) 0 | 0 | 0 |
| 2. The Board as a whole has a clear understanding of the University's strategic plan. | 10 (48%) 10 (63%) | 10 (48%) 6 (37%) | 1 (5%) 0 | 0 | 0 | 0 |
| 3. The University's strategic goals are clear. | 12 (60%) 9 (56%) | 8 (40%) 7 (44%) | 0 | 0 | 0 | 0 |
| 4. The University's strategic goals serve as a useful guide to the Board in the deliberations and policy making decisions. | 12 (57%) 9 (56%) | 9 (43%) 7 (44%) | 0 | 0 | 0 | 0 |
| 5. The Board is provided with adequate information at meetings for effective decision-making. | 11 (55%) 6 (40%) | 9 (45%) 9 (60%) | 0 | 0 | 0 | 0 |

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# **Board Effectiveness**

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 6. The Board is provided with adequate resources prior to meetings for effective decision-making. | **9 (43%)** 7 (44%) | **12 (57%)** 8 (50%) | **0** 1 (6%) | 0 | 0 | 0 |
| 7. The Board has sufficient engagement with Academic Council. | **3 (15%)** 3 (19%) | **11 (55%)** 9 (56%) | **6 (30%)** 3 (19%) | **0** 1 (6%) | 0 | 0 |
| 8. The Board has effective engagement with Academic Council. | **4 (20%)** 3 (19%) | **8 (40%)** 10 (62%) | **8 (40%)** 3 (19%) | 0 | 0 | 0 |
| 9. The Board understands the distinction between the responsibilities of its role and the role of the administration. | **12 (60%)** 6 (38%) | **8 (40%)** 9 (56%) | **0** 1 (6%) | 0 | 0 | 0 |
| 10. The Board has the opportunity to discuss matters of critical importance before decisions are made. | **11 (52%)** 8 (50%) | **9 (43%)** 7 (44%) | **1 (5%)** 1 (6%) | 0 | 0 | 0 |

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# Board Effectiveness

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 11. The Board has the opportunity to ask questions of critical importance before decisions are made. | 15 (75%) 9 (60%) | 5 (25%) 6 (40%) | 0 | 0 | 0 | 0 |
| 12. The Board ensures that members receive reports on how our organization has used its financial resources. | 8 (40%) 9 (60%) | 11 (55%) 6 (40%) | 1 (5%) 0 | 0 | 0 | 0 |
| 13. The Board knows the major challenges facing this university. | 13 (62%) 7 (47%) | 7 (33%) 7 (47%) | 1 (5%) 1 (6%) | 0 | 0 | 0 |
| 14. The Board knows the major opportunities facing this university. | 7 (35%) 7 (47%) | 12 (60%) 7 (47%) | 1 (5%) 1 (6%) | 0 | 0 | 0 |
| 15. The Board schedules sufficient time to discuss long term strategic issues. | 3 (14%) 7 (47%) | 15 (71%) 6 (40%) | 3 (14%) 1 (7%) | 0 1 (7%) | 0 | 0 |
| 16. Evaluation and reporting of Board performance is useful in improving the practices of the Board. | 9 (45%) 8 (50%) | 10 (50%) 8 (50%) | 1 (5%) 0 | 0 | 0 | 0 |

# Board Structure

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 1. The Board has an effective committee structure for its needs. | 9 (45%) 7 (47%) | 8 (40%) 8 (53%) | 3 (15%) 0 | 0 | 0 | 0 |
| 2. The Board makes good use of its committees. | 10 (50%) 7 (47%) | 9 (45%) 8 (53%) | 0 | 0 | 0 | 1 (5%) 0 |
| 3. The level of delegation of authority to the Board Committees is appropriate. | 10 (48%) 7 (47%) | 10 (48%) 8 (53%) | 0 | 0 | 0 | 1 (5%) 0 |
| 4. Board committees act appropriately within the delegation of authority (i.e. routine matters are resolved and significant matters are properly recommended to the Board). | 9 (43%) 8 (53%) | 11 (52%) 7 (47%) | 0 | 0 | 0 | 1 (5%) 0 |
| 5. Work done at the committee level can be relied on when considering items brought forward to the Board for review and approval. | 11 (55%) 9 (60%) | 8 (40%) 6 (40%) | 0 | 0 | 0 | 1 (5%) 0 |

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# Board Structure

| Question | Strongly Agree<br>**2021**<br>2020 | Agree<br>**2021**<br>2020 | Neither Agree nor Disagree<br>**2021**<br>2020 | Disagree<br>**2021**<br>2020 | Strongly Disagree<br>**2021**<br>2020 | No Response<br>**2021**<br>2020 |
|---|---|---|---|---|---|---|
| 6. The Board has an effective orientation program for newly elected Board members. | **7 (35%)**<br>5 (33%) | **8 (40%)**<br>8 (53%) | **3 (15%)**<br>2 (13%) | **1 (5%)**<br>0 | 0 | **1 (5%)**<br>0 |
| 7. The Board has a diversity of representation (gender, ethnicity, profession). | **5 (24%)**<br>6 (40%) | **11 (52%)**<br>7 (47%) | **4 (19%)**<br>2 (13%) | 0 | 0 | **1 (5%)**<br>0 |
| 8. The Board has effective recruitment strategies to assess needs for, identify and attract new Board members. | **5 (25%)**<br>6 (40%) | **10 (50%)**<br>7 (47%) | **2 (10%)**<br>2 (13%) | 0 | 0 | **3 (15%)**<br>0 |

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# Board Meetings

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 1. Board meetings are strategic. | 9 (45%) 5 (33%) | 10 (50%) 10 (67%) | 1 (5%) 0 | 0 | 0 | 0 |
| 2. Board meetings focus on priority issues. | 10 (50%) 4 (27%) | 10 (50%) 11 (73%) | 0 | 0 | 0 | 0 |
| 3. Discussions are informative. | 12 (60%) 5 (33%) | 7 (35%) 10 (67%) | 1 (5%) 0 | 0 | 0 | 0 |
| 4. Discussions are productive. | 9 (45%) 6 (40%) | 11 (55%) 10 (60%) | 0 | 0 | 0 | 0 |
| 5. Discussions occur in a respectful manner. | 18 (86%) 13 (87%) | 3 (14%) 2 (13%) | 0 | 0 | 0 | 0 |

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# Board Meetings

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 6. The meeting documentation provides adequate information for preparation prior to a meeting. | **12 (57%)** 8 (53%) | **9 (43%)** 7 (47%) | 0 | 0 | 0 | 0 |
| 7. The agenda is well-planned so that the Board is able to get through all necessary business. | **9 (45%)** 8 (50%) | **10 (50%)** 7 (44%) | **1 (5%)** 1 (6%) | 0 | 0 | 0 |
| 8. Board members are well apprised of issues prior to making a decision. | **8 (40%)** 7 (44%) | **12 (60%)** 9 (56%) | 0 | 0 | 0 | 0 |

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# Individual Board Involvement

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 1. My abilities fit well with the strategic demands facing the University. | 12 (57%) 9 (56%) | 8 (38%) 7 (44%) | 1 (5%) 0 | 0 | 0 | 0 |
| 2. My abilities are being used effectively in my role(s) on the Board. | 7 (35%) 4 (25%) | 8 (40%) 10 (63%) | 4 (20%) 2 (12%) | 1 (5%) 0 | 0 | 0 |
| 3. My abilities are being used effectively in my role(s) on the Board's committees. | 6 (30%) 4 (25%) | 10 (50%) 11 (69%) | 4 (20%) 1 (6%) | 0 | 0 | 0 |
| 4. My abilities are being used effectively to support the University's government relations strategy. | 5 (24%) 4 (25%) | 6 (29%) 7 (44%) | 7 (33%) 5 (31%) | 2 (10%) 0 | 0 | 1 (5%) 0 |
| 5. My abilities are being used effectively to support the University's advancement strategy. | 3 (15%) 3 (19%) | 11 (55%) 10 (62%) | 3 (15%) 3 (19%) | 1 (5%) 0 | 0 | 2 (10%) 0 |
| 6. My time is well-utilized at Board and committee meetings. | 10 (48%) 7 (44%) | 11 (52%) 9 (56%) | 0 | 0 | 0 | 0 |
| 7. I read the minutes, reports and other materials in advance of Board and Committee meetings. | 13 (65%) 7 (44%) | 6 (30%) 9 (56%) | 1 (5%) 0 | 0 | 0 | 0 |

# Individual Board Involvement

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 8. I am familiar with what is in University of Ontario Institute of Technology's Act, By-Laws and governing policies. | **7 (35%)** 3 (19%) | **11 (55%)** 8 (50%) | **2 (10%)** 5 (31%) | 0 | 0 | 0 |
| 9. When I have a different opinion than the majority, I raise it. | **8 (40%)** 7 (44%) | **10 (50%)** 8 (50%) | **2 (10%)** 1 (6%) | 0 | 0 | 0 |
| 10. I support Board decisions once they are made even if I do not agree with them. | **10 (50%)** 9 (56%) | **9 (45%)** 7 (44%) | 0 | 0 | 0 | **1 (5%)** 0 |
| 11. I have taken advantage of opportunities made available to Governors to interact with faculty and students during my term. | **7 (35%)** 4 (25%) | **5 (25%)** 12 (75%) | **6 (30%)** 0 | 0 | 0 | **2 (10%)** 0 |
| 12. I believe that I am able to contribute effectively to the Board's work. | **13 (65%)** 7 (47%) | **7 (35%)** 8 (53%) | 0 | 0 | 0 | 0 |
| 13. I believe that I am able to contribute effectively to the university. | **13 (62%)** 7 (44%) | **8 (38%)** 9 (56%) | 0 | 0 | 0 | 0 |
| 14. Overall my experience as a Board member has been positive. | **17 (81%)** 11 (69%) | **4 (19%)** 5 (31%) | 0 | 0 | 0 | 0 |

# Next Steps

- More detailed analysis with Chair, Executive Committee and GNHR

- Obtain the Committee's feedback and direction on the annual Board Practices Assessment process and tool

- Identification of governance priorities

- Assignment of specific objectives to Committees as part of Committee work plans

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# 2020-2021 Committee Practices Assessment Results Summary

**Presented to:**  **Board of Governors**

**From:**  **Governance, Nominations & Human Resources Committee**

**Date:**  **June 24, 2021**

# Agenda

- Assessment Format
- Results
- GNHR Direction for 2021-2022 Committee Priorities

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# Assessment Format

- As part of the university's governance plan, a Board committee practices assessment was developed and implemented in 2020.

- As directed by GNHR, the Committee Practices Assessment was conducted through the OnBoard portal.

- **18/18** governors completed the assessment - 100% compared to the 2019-2020 response rate of 68%.

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# Committee Effectiveness

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 1. The mandate of the Committee is clearly set out in the Terms of Reference. | **13 (72%)** 9 (69%) | **5 (28%)** 4 (31%) | 0 | 0 | 0 | 0 |
| 2. The Committee's Terms of Reference continue to be appropriate. | **11 (61%)** 7 (54%) | **7 (39%)** 6 (46%) | 0 | 0 | 0 | 0 |
| 3. The Committee orientation was helpful. | **4 (22%)** 7 (54%) | **9 (50%)** 4 (31%) | 0 1 (8%) | 0 | 0 | **5 (28%)** 1 (8%) |
| 4. I have a clear understanding of the committee's mandate. | **8 (44%)** 7 (54%) | **9 (50%)** 6 (46%) | **1 (6%)** 0 | 0 | 0 | 0 |
| 5. The Committee, as a whole, has a clear understanding of its mandate. | **7 (39%)** 4 (31%) | **8 (44%)** 9 (69%) | **3 (17%)** 0 | 0 | 0 | 0 |

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# Committee Effectiveness

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 6. The Committee is effective in carrying out its mandate. | 9 (50%) 5 (38%) | 9 (50%) 7 (54%) | 0 1 (8%) | | | |
| 7. The Committee has the opportunity to discuss matters of critical importance before decisions are made. | 11 (61%) 7 (54%) | 5 (28%) 5 (38%) | 2 (11%) 1 (8%) | | | |
| 8. The Committee has the opportunity to ask questions of critical importance before decisions are made. | 11 (61%) 7 (54%) | 6 (33%) 6 (46%) | 1 (6%) 0 | | | |
| 9. Overall, the Committee functions effectively. | 10 (56%) 6 (46%) | 8 (44%) 6 (46%) | 0 1 (8%) | | | |

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# Committee Structure & Meetings

| Question | Strongly Agree <br> **2021** <br> 2020 | Agree <br> **2021** <br> 2020 | Neither Agree nor Disagree <br> **2021** <br> 2020 | Disagree <br> **2021** <br> 2020 | Strongly Disagree <br> **2021** <br> 2020 | No Response <br> **2021** <br> 2020 |
|---|---|---|---|---|---|---|
| 1.  The Committee has the appropriate number of members. | **9 (50%)** <br> 4 (31%) | **8 (44%)** <br> 6 (46%) | **1 (6%)** <br> 3 (23%) | 0 | 0 | 0 |
| 2.  The Committee is composed of members who have the appropriate expertise and experience to help the Committee advance its mandate. | **8 (44%)** <br> 5 (38%) | **8 (44%)** <br> 7 (54%) | **2 (11%)** <br> 1 (8%) | 0 | 0 | 0 |
| 3.  The number of Committee meetings is adequate to fulfill the Committee's responsibilities. | **4 (22%)** <br> 3 (23%) | **12 (67%)** <br> 9 (69%) | **1 (6%)** <br> 1 (8%) | 0 | 0 | **1 (6%)** <br> 0 |
| 4. Committee meetings are strategic. | **6 (33%)** <br> 3 (23%) | **10 (56%)** <br> 9 (69%) | **2 (11%)** <br> 1 (8%) | 0 | 0 | 0 |
| 5. Committee meetings focus on priority issues | **7 (39%)** <br> 4 (31%) | **11 (61%)** <br> 8 (61%) | **0** <br> 1 (8%) | 0 | 0 | 0 |

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# Committee Structure & Meetings

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 6.    Committee members arrive prepared for meetings. | **5 (28%)** 4 (31%) | **10 (56%)** 9 (69%) | **3 (17%)** 0 | 0 | 0 | 0 |
| 7. Meetings are conducted in a way that supports meaningful member participation | **9 (50%)** 5 (38%) | **9 (50%)** 8 (62%) | 0 | 0 | 0 | 0 |
| 8.  The Committee is focused on oversight and policy, not on operational detail. | **7 (41%)** 4 (31%) | **10 (59%)** 9 (69%) | 0 | 0 | 0 | 0 |
| 9. Committee members ask relevant questions with respect to the Committee's oversight responsibilities. | **7 (41%)** 4 (31%) | **10 (59%)** 8 (61%) | **0** 1 (8%) | 0 | 0 | 0 |
| 10. Discussions occur in a respectful manner. | **14 (78%)** 11 (85%) | **4 (22%)** 2 (15%) | 0 | 0 | 0 | 0 |
| 11.  The Committee is provided with adequate information at meetings for effective decision-making. | **6 (35%)** 6 (46%) | **10 (59%)** 7 (54%) | **1 (6%)** 0 | 0 | 0 | 0 |

# Committee Structure & Meetings

| Question | Strongly Agree 2021 2020 | Agree 2021 2020 | Neither Agree nor Disagree 2021 2020 | Disagree 2021 2020 | Strongly Disagree 2021 2020 | No Response 2021 2020 |
|---|---|---|---|---|---|---|
| 12. The Committee is provided with adequate resources prior to meetings for effective decision-making. | 5 (28%) 5 (38%) | 12 (67%) 8 (62%) | 1 (6%) 0 | 0 | 0 | 0 |
| 13. The meeting material is received sufficiently in advance to adequately prepare for meetings. | 5 (28%) 6 (46%) | 10 (56%) 4 (31%) | 2 (11%) 3 (23%) | 1 (6%) 0 | 0 | 0 |
| 14. Presentations are interesting and helpful. | 6 (33%) 3 (23%) | 9 (50%) 9 (69%) | 1 (6%) 1 (8%) | 1 (6%) 0 | 0 | 1 (6%) 0 |
| 15. The agenda is well-planned so that the Committee is able to get through all necessary business. | 12 (71%) 4 (31%) | 4 (23%) 8 (61%) | 1 (6%) 1 (8%) | 0 | 0 | 0 |
| 16. Committee members are well apprised of issues prior to making a decision. | 6 (33%) 6 (46%) | 11 (61%) 7 (54%) | 1 (6%) 0 | 0 | 0 | 0 |

# Next Steps

- More detailed analysis with Chair, Executive Committee and GNHR

- Obtain the Committee's feedback and direction on the annual Committee Practices Assessment process and tool

- Identification of committee governance priorities

- Assignment of specific objectives to Committees as part of Committee work plans

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6/24/2021

# Annual Human Rights Report

Andrew Sunstrum
DIRECTOR, HUMAN RIGHTS OFFICE

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# PART I INTRODUCTION

In September 2019, the University hired a dedicated, experienced Director of Human Rights and commenced an institutional scan of its human rights program in order to assess existing processes and identify opportunities for improvement.

The review included:

- A complete policy scan of existing policies, procedures and guidelines;
- Stakeholder Consultations – meetings with 17 key individuals (within HR, Student Life, Campus Safety, all Bargaining Units and Student Representatives);
- A review of previously completed formal investigations and workplace restoration processes; and,
- Input was sought from the Advisory Committee on Student Sexual Violence Prevention and Support.

The review exercise resulted in several recommendations that were endorsed by the Provost and President in 2020; including the creation of a dedicated Human Rights Office. The Human Rights Office has taken oversight to ensure a consistent and compliant approach to handling human rights disputes raised by Faculty, Staff, Students and Visitors. Additionally, the Office is implementing process controls, including the creation of a fully aligned suite of human rights policy instruments to clarify roles and responsibilities.

The expressed goal of the recommendations flowing from the systems review was to promote a Sticky Campus by supporting and enforcing a culture of respect and inclusivity and creating a seamless complaints resolution process. The key recommendations are as follows:

- Human Rights Policy Framework – consolidate, align and update Human Rights Policies and Procedures.
- Human Rights Office Oversight – create a dedicated one-stop-shop with institution-wide accountability for a compliant human rights program.
- Renewed focus on Alternative and Early Dispute Resolution – promote the benefits of ADR processes and implement an institutional focus on addressing disrespect and micro-aggressions as a means to prevent conflict escalation.

The newly-created Human Rights Office will play a crucial role in promoting institutional capacity for identifying and resolving human rights-related disputes and conflict; and is available on a confidential basis to provide advice and direction to any university member who is experiencing, witnessed or has received information about alleged harassment, discrimination, sexual violence, micro-aggressions or other forms of interpersonal conflict/disputes. The Human Rights Office supports: de-escalation, dialogue, facilitated discussions, formal investigations and training/education.

# PART II STATUS UPDATE

## 1. HISTORICAL OVERVIEW

This is the University's Inaugural Human Rights Annual Report. The Report details progress to-date on the implementation of the University's Human Rights Office and reports data related to human rights-based complaints and consultations, which will serve as a baseline for future trends-based reporting.

As established in the University's Respectful Campus Policy dated April 2021, and as approved by the Board, Ontario Tech University is committed to providing this report annually to assist the Board and University Members to understand the state of the University's Human Rights Program and identify progress and trends from year to year.

## 2. DATA & TRENDS

Dispute Resolution Data is a key component of this report as it provides an annual snapshot of the Human Rights issues and concerns brought forward for resolution by University Members. Data is compiled regarding the type of complaint or concern raised, the source of the complaint or concern (i.e. student, faculty, staff or visitor) the prohibited ground cited in the complaint or inquiry (e.g. race, sex, disability, etc.); and the action(s) taken to address the complaint or concern.

The reporting period is the University's fiscal year; April 1 – March 31. Although some data was compiled by the Human Rights Office between September 2019 and March 2020, the fiscal year 2020-2021 represents the first full year of Human Rights Office data.

### a. Issue Type

To assist in understanding the data, it is important to have some understanding of the Human Rights Office's processes. There are five (5) Issue types under which the Human Rights Office has accountability: Discrimination, Duty to Accommodate, Harassment, Student Sexual Violence and issues of a general Human Rights nature - the general category includes consultations regarding broad human rights principles or inquiries of a programmatic nature, e.g. requests to review policy instruments or training materials to ensure human rights compliance, questions about legislative and policy interpretation, procedural inquiries, etc.

## Issue Type



| | 2020/2021 |
|---|---|
| ■ Discrimination | 12 |
| ■ Duty to Accommodate | 26 |
| ■ General/Human Rights | 31 |
| ■ Harassment | 21 |
| ■ Student Sexual Violence | 11 |

■ Discrimination  ■ Duty to Accommodate  ■ General/Human Rights  ■ Harassment  ■ Student Sexual Violence
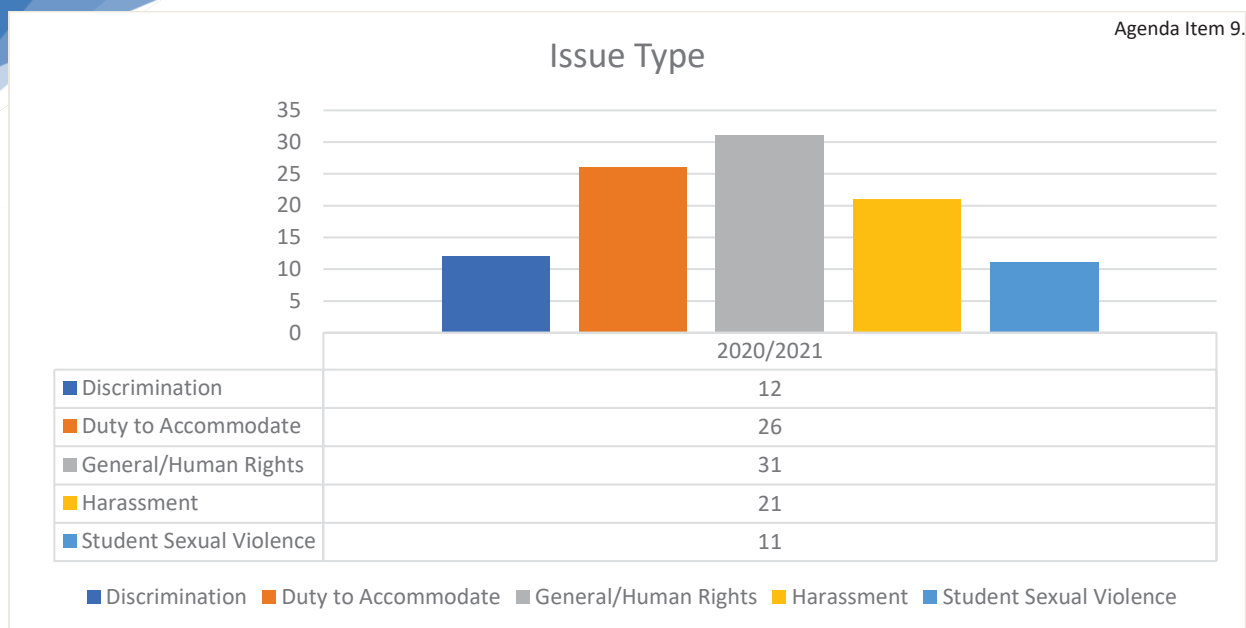
Table: 1

Between September 2019 and March 31, 2020, the Human Rights Office was approached with 27 issues for resolution. In the 2020-2021 fiscal year, 101 issues were brought forward. The increase of issues between the initial 7-month period in 2019-2020 (when the Office was first establishing itself) and the full 2020-2021 fiscal year is likely attributable to the Human Rights Office's outreach activities. Since early September 2019, the Human Rights Office has steadily built awareness of its existence and of its role in addressing and resolving human rights matters.

**b. Intervention Type**



Consultation → Assessment → Early Resolution → Informal Resolution → Formal Resolution
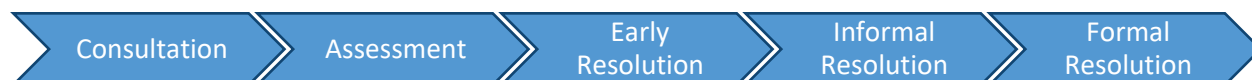
The Human Rights Office is available for confidential consultations that provide University members with information about their various rights, responsibilities and obligations. The Human Rights Office also intervenes directly in cases where allegations describe a human rights violation. The Human Rights Office promotes informal and early dispute resolution processes wherever possible or feasible. Informal approaches to resolving conflict can foster prompt resolution and prevent escalation; particularly when concerns are raised expeditiously. These are opportunities for parties to resolve a dispute, ensure Harassment and Discrimination do not occur and address broader issues that caused or contributed to the dispute. There are five (5) stages or actions included in the Human Rights Office's dispute resolution program. They include:

1. Consultation: the act of reaching out to the Human Rights Office for advice or information.
2. Assessment: A Human Rights Office analysis of the content of a complaint to determine whether the matter falls under the Office's mandate.

3. Early Resolution: The Human Rights Office works with parties to resolve complaints prior to the receipt of a formal complaint, or to assist persons of authority to address incidents/concerns in a manner compliant with human rights obligations.
4. Informal Resolution: The Human Rights Office employs a structured process, such as a mediation or restorative justice process, to resolve a complaint to the satisfaction of the parties in dispute.
5. Formal Resolution: The Human Rights Office ensures an investigation of the alleged human rights violation and a determination of whether a policy violation has occurred.

## Intervention Type

|  | 2020-2021 |
|---|---|
| ■ Consultation | 53 |
| ■ Assessment | 18 |
| ■ Early Resolution | 21 |
| ■ Informal Resolution | 2 |
| ■ Formal Resolution | 7 |
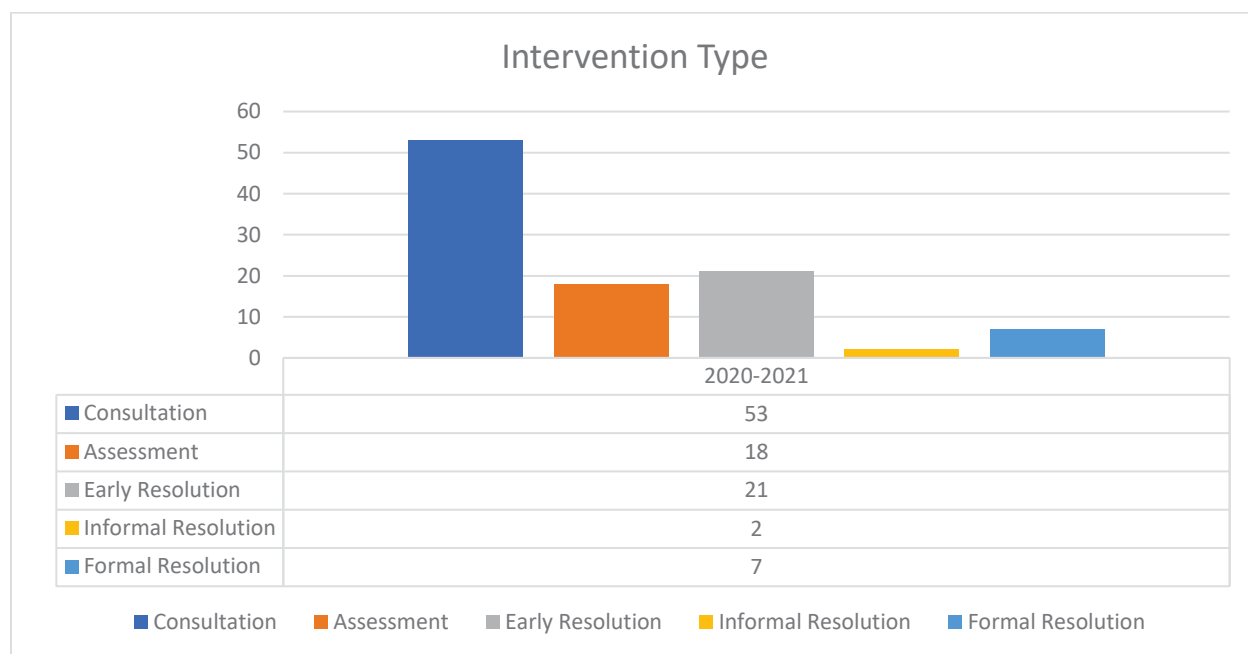
Table: 2

### c. Issue Source

The Human Rights Office provides services to all University Members, including Faculty, Staff, Students and Visitors. The following table shows the source of issues that were brought to the attention of the Human Rights Office.

## Source (2020-2021)

0
33
22
46

■ Faculty ■ Staff ■ Students ■ Visitors

Table: 3
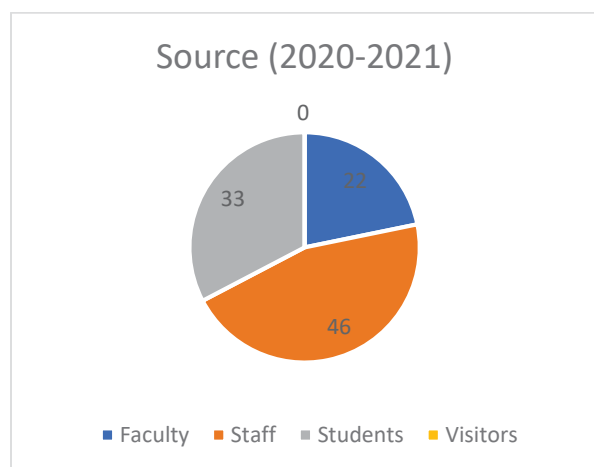
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### d. Protected Grounds

Protected Grounds are the grounds contained in the Ontario Human Rights Code (OHRC) under which individuals are protected against discrimination and harassment. Most, but not all, of the Human Rights Office's work is connected to a Protected Ground under the OHRC. Additionally, the Human Rights Office intervenes to address incidents and complaints that fall under other legislation, but overlap with a Protected Ground, i.e., the Occupational Health and Safety Act (Workplace Sexual Harassment) and the Ministry of Training, Colleges and Universities Act (Student Sexual Violence).

A number of consultations completed by the Human Rights Office are of a general human rights nature in which no specific protected ground is cited – these are captured in the following table under the "unspecified" column. The Human Rights Office is also accountable for addressing incidents of workplace harassment, in which a connection to a protected ground is not required.



**Protected Grounds**

| | 2020-2021 |
|---|---|
| ■ Age | 0 |
| ■ Ancestry, Ethnic Origin, Place of Origin, Citizenship, Colour, Race | 4 |
| ■ Creed | 2 |
| ■ Disability | 22 |
| ■ Marital Status, Family Status | 4 |
| ■ Record of Offenses | 0 |
| ■ Sex, Sexual Orientation, Gender Identity, Gender Expression | 17 |
| ■ Unspecified | 43 |
| ■ Workplace Harassment | 9 |
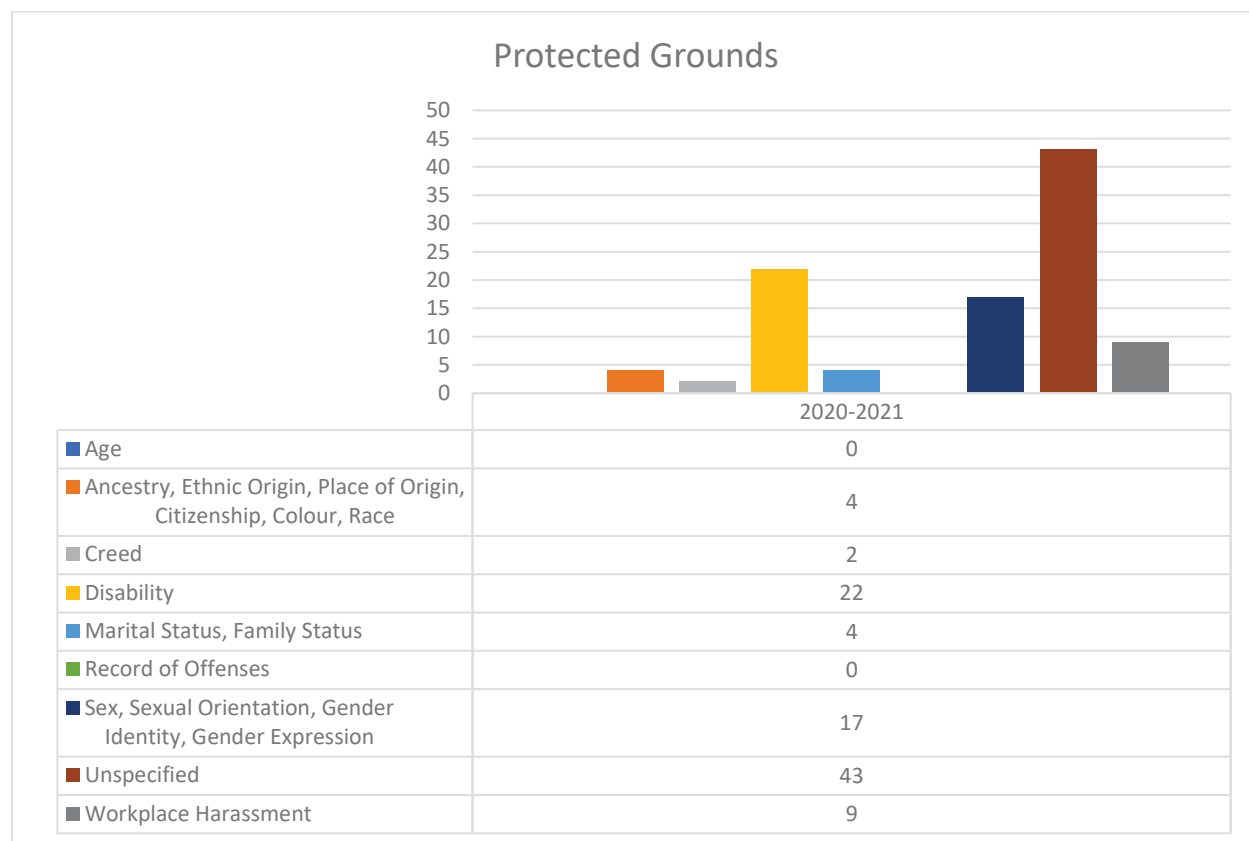
Table: 4

## 3. MEASURING PROGRESS

**Launch of the Human Rights Office**

From its inception in September 2019, the Human Rights Office has been working directly with University Members to address and respond to allegations of harassment,

discrimination and student sexual violence. At the same time, the Office has been steadily working towards implementing a dedicated Human Rights Program for all University Members.

**DATE MILESTONES ACHIEVED**

- Human Rights Systems Review - commenced Fall 2019 & completed January 2020
- New Policy Framework endorsed by Senior Leadership - spring 2020
- Policy development - Summer 2020
- Policy consultation - commenced Fall 2020
- Respectful Campus Policy and Employee Procedures - approved April 22, 2021
- Accommodation Policy – approved April 22, 2021

The Human Rights Office has made significant progress in a short amount of time by working collaboratively and effectively with key internal stakeholders to promote and champion human rights principles, clarify roles and responsibilities, gain buy-in, and implement a consistent and compliant dispute resolution program applicable for all University members.

This groundwork is demonstrated in the Board of Governors recent approval of the University's overarching Human Rights and Anti-Harassment Policy; the Respectful Campus Policy (accompanied by a procedure for employees that was approved simultaneously). The Accommodation Policy, also recently approved by the Board, is another Human Rights Policy with institutional scope and reflects the University's commitment to accommodating Faculty, Staff, Students and Visitors on all Protected Grounds under the Ontario Human Rights Code.

# PART III GOING FORWARD

## 4. 2021 – 2022 GOALS AND OBJECTIVES

As we look back on our progress to-date, we recognize that there is still a way to go to realize the University's goal of creating and maintaining a campus culture of respect and inclusivity. We also know that the Human Rights Office cannot achieve this alone. Only if we work together can we ensure a respectful campus environment in which the human dignity of each individual is valued, and the diverse perspectives, ideas and experiences of all members of the community are able to flourish.

Indeed, all University Members have a role in confronting and addressing rude and disrespectful behavior when it occurs and creating and maintaining a campus environment that is inclusive for all. As a community, we can help to prevent conflict escalation by remaining respectful and focusing on addressing conflict in a timely, constructive and cooperative manner. While misunderstandings and conflicts will occur in a complex, demanding and diverse campus environment where collaboration is

essential to success, early and informal approaches to resolution should be sought whenever possible and appropriate.

The Human Rights Office will continue to support the community in this endeavor by providing advice; assistance; early and informal approaches to dispute resolution; and if necessary, formal investigation of human rights disputes.

Over this next fiscal year, we will also support and promote a respectful campus by focusing upon the following three (3) priority areas:

1. Policy Framework: The Human Rights Office has drafted a Human Rights Dispute Resolution Procedure for Students that will finalize the implementation of the University's Human Rights policy framework. The Student Procedures will be presented to the Board of Governors for approval after a mandatory consultation process.
2. Communications:
   a. The Human Rights Office will enhance campus communications starting with the launch of a dedicated Human Rights Office webpage in Spring/Summer 2021.
   b. The Human Rights Office is in the process of developing informational resources to assist University Members in understanding their rights, responsibilities and obligations. Resources in development include a guide to the Duty to Accommodate, and a guide to the intersection between Human Rights principles and online communications (e.g. class chats, social media, etc.)
3. Training/Education: The Human Rights Office is currently focused on working with key internal stakeholders (Human Resources, Student Life, etc.) to update and enhance online compliance-based human rights training.

## 5. CONCLUSION

The Human Rights Office would like to extend a heart-felt thank-you to the Ontario Tech University Community, and particularly to the stakeholder groups that participated in the Human Rights Systems Review in late 2019. The Human Rights Office would not have been able to achieve so much in such a short amount of time if it weren't for the support and cooperation of University Members.

Of equal importance has been an unwavering commitment from the University's Senior Leadership Team. The tone from the top is of critical importance to the work of the Human Rights Office; particularly in a year where the pandemic could have easily derailed momentum towards progress.

Over the last fiscal year, we led with our values through very difficult times. This is evidence of a deep, underlying appreciation for and commitment to the human rights principles of inclusivity and respect. We very much look forward to working with all community members to continue the enrichment of the University's Human Rights program.

| Classification Number | LCG 1107 |
|---|---|
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary and General Counsel |
| Approval Date | April 22, 2021 |
| Review Date | April 2021 |
| Supersedes | Harassment and Discrimination Policy, Approved November 2004, Editorial Amendments February 18, 2020 |

**RESPECTFUL CAMPUS POLICY**

**PURPOSE**

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

**DEFINITIONS**

**2.**     For the purposes of this Policy and associated procedures, the following definitions apply:

**"Barriers"** include attitudes (stereotypes or prejudices), policies, practices, rules and designs that prevent full participation of individuals or groups on the basis of a Protected Ground.

**"Complainant"** refers to an individual who has filed a Report regarding an alleged breach of this policy.

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

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

**"Disrespect"** is behavior that falls short of Harassment, but nevertheless has harmful impacts on the campus environment, e.g. rude, inconsiderate and passive aggressive behavior. Disrespect, if left unaddressed, can escalate to Harassment or Discrimination.

**"Duty to Accommodate"** refers to the obligation to eliminate the disadvantage, to the point of undue hardship, caused by barriers that exclude individuals or groups protected under the Code from participating in all aspects of their employment, academic endeavors, or use of facilities and housing on campus. Failure to meet the Duty to Accommodate is a form of discrimination. For more on the Duty to Accommodate see the University's Accommodation Policy.

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

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

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

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

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

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

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

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

**"Microaggression"** means a comment or action that negatively targets a group based on a Protected Ground (e.g. a racist, sexist or homophobic comment). Microaggressions

may be intentional or accidental, but are nonetheless harmful and stigmatizing to a certain group of people. If allowed to go unchallenged, Microaggressions may escalate to Harassment and/or Discrimination

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

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

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

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

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

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

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

**"Sexual Harassment"** means,

1. engaging in a course of vexatious comment or conduct because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or

2. making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

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

**"University Member"** means any individual who:

- is employed by the University or holds an appointment with the University, including paid, unpaid and/or honorific appointments (**"Employee"**);

- is registered as a student, in accordance with the academic regulations of the University (**"Student"**); and/or

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

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

**"Workplace Harassment"** means,

1. engaging in a course of vexatious comment or conduct against an Employee in a workplace that is known or ought reasonably to be known to be unwelcome, and/or

2. Workplace Sexual Harassment - defined as Sexual Harassment against an Employee in the workplace.

## SCOPE AND AUTHORITY

3. The University Secretary and General Counsel is the Policy Owner. The Policy Owner is responsible for overseeing the implementation, administration, interpretation and application of this Policy.

4. The Policy Owner will ensure the Policy is reviewed as often as is necessary, and in any event, at least annually, in consultation with all appropriate departments and the JHSC(s), and in accordance with the University's Policy Framework and relevant Collective Agreements.

5. This Policy applies to all University Members in all aspects of their engagement with the University.

6. Ontario Tech University has a [Student Sexual Violence Policy](), which sets out a framework for ensuring that students who experience sexual violence are directed to appropriate supports and services and that includes a set of procedures that are completely student-driven; meaning students decide if they want to file a formal report or to participate in informal or formal resolution options. Sexual Harassment, as defined under this policy is also defined as Student Sexual Violence when perpetrated by or against a student. In the event that a student alleges sexual violence against an Employee or an employee alleges sexual harassment by a student, all of the rights, roles, responsibilities and obligations established under the Student Sexual Violence Policy will apply to the Student and this Policy and its related procedures will be applied to Employees.

7. This Policy and its corresponding Procedures do not override or diminish the rights provided to Employees under applicable Collective Agreements, including the right to academic freedom afforded to Faculty. Collective Agreements will supersede this Policy to the extent there is a conflict.

8. This Policy does not preclude University Members from pursuing resolution through external resources and processes, including those offered by the Human Rights Legal Support Centre, the Human Rights Tribunal of Ontario and the Ontario Labour Relations Board.

**POLICY**

9.  The University promotes a campus environment that is equitable, inclusive and accessible, and does not tolerate, ignore or condone Discrimination or Harassment by or against anyone.

10. The University is committed to providing a campus environment in which all University Members are treated with dignity, and to fostering a climate of understanding and mutual respect. Excellence in the university community is fostered by promoting the freest possible exchange of information, ideas, beliefs and opinions in diverse forms, and it necessarily includes dissemination and discussion of controversial topics and unpopular points of view. However, Freedom of expression and freedom of inquiry must be exercised responsibly, in ways that demonstrate active concern and respect for others, including their ability to participate meaningfully in the exchange of information, ideas, beliefs and opinions (refer to the University's Freedom of Expression Policy).

11. The University will maintain a respectful campus e environment in which the human dignity of each individual is valued, and the diverse perspectives, ideas and experiences of all members of the community are able to flourish. While misunderstandings and conflicts will occur in a complex, demanding and diverse campus environment where collaboration is essential to success, early and informal approaches to resolution should be sought whenever possible and appropriate.

12. To promote a respectful campus environment:

    12.1.   The University will ensure that procedures are in place for the prevention of, and response to Harassment, Discrimination and other breaches of this policy.

    12.2.   The University will provide information, instruction and assistance to University Members with respect to Harassment and Discrimination.

    12.3.   The University will provide Persons of Authority with information and instruction that will enable them to recognize, assess and address Harassment and Discrimination, and to understand how to respond appropriately when such incidents are alleged. The University will also provide Persons of Authority with information and instruction that will enable them to effectively and quickly address disrespectful behavior, Microaggressions and any other behaviours that negatively impact group cohesion.

    12.4.   Any University Member who believes they have been harassed or discriminated against, or have witnessed Harassment or Discrimination, is expected to make good faith efforts to resolve their concerns depending on the circumstances, and/or Report the situation in a timely manner.

    12.5.   The University will administer the processes set out in applicable procedures responding to Reports fairly and promptly, with adequate regard to the unique circumstances of each particular case, and in a manner that prioritizes the dignity and privacy of individuals involved.

**12.6.** Where applicable and appropriate, the University will make available informal dispute resolution processes such as Mediation in an attempt to resolve disputes and underlying conflict at the heart of a Report.

**12.7.** The University will inform and update Complainants, Respondents and relevant Persons of Authority (as appropriate) about the status of dispute resolution processes as they progress.

**12.8.** University Members are protected against Reprisal for submitting a Report in good faith, or for participating in a related dispute resolution process. A University Member who believes they have been penalized for submitting a Report in good faith, or for participating in a related investigation, may pursue the allegation of Reprisal by submitting a Report, and/or may pursue a Reprisal complaint through external processes.

**12.9.** Reprisal protection does not apply to a University Member who submits a Report that is determined to be frivolous or vexatious, or who exhibits bad faith and/or refuses to cooperate in the course of an investigation; each of which are considered breaches of this policy.

**12.10.** The University will respect the privacy of individuals involved in Reports and investigations, ensuring information about a Report is not disclosed, except to the extent necessary to investigate, take corrective action, implement measures to protect the health and safety of University Members and/or restore the learning/work environment, or as otherwise required by law.

**12.11.** Personal Information collected under this Policy will be used only for the purposes of administering this Policy, and will be disclosed only on a need-to-know basis, to the extent disclosure is required to fulfill the University's legal obligations under the *Human Rights Code*, the *Occupational Health & Safety Act*, and any other applicable law and/or legal obligations, including any applicable collective agreement. Subject to applicable law, Personal Information collected, used and disclosed under this Policy will otherwise be kept confidential, and will be stored and disposed of in accordance with *Freedom of Information and Protection of Privacy Act* and Ontario Tech University's R*ecords Management Policy*.

**12.12.** University Members who engage in Harassment and/or Discrimination, Reprisal or other breaches of this policy will be held accountable and may be subject to disciplinary measures, up to and including termination of employment or academic expulsion.

## ROLES AND RESPONSIBILITIES

### 13. All University Members

**13.1.** Have a shared responsibility for maintaining a respectful environment that is free from Harassment and Discrimination.

**13.2.** Are responsible for familiarizing themselves with this Policy and related procedures;

**13.3.** Will refrain from engaging in Harassment, Discrimination, acts of Reprisal or other breaches of this policy.

**13.4.** Will build and maintain positive and productive relationships and demonstrate Respect in their interactions.

**13.5.** Will work cooperatively and constructively to resolve conflicts they encounter and seek assistance from a Person of Authority, as appropriate, regarding any escalating conflict they are unable to resolve themselves.

**13.6.** Will complete all required Discrimination and Harassment instruction and training within established timelines

**13.7.** Will exercise rights under this Policy in good faith using prescribed channels. For more information on reporting Harassment and Discrimination, refer to the procedures for Employees [link] and Students [link].

**13.8.** Will participate in and cooperate with the Reporting Process and/or any related investigation, including respecting confidentiality obligations.

**13.9.** Will comply with the corrective measures imposed by the University under this Policy, subject to relevant collective agreements and other appeal rights.

**14.** **Persons of Authority**

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

**14.1.** Will cultivate a respectful and inclusive environment where people feel safe to raise concerns;

**14.2.** Will ensure expected standards under this Policy are adhered to, including addressing and resolving Microaggressions and other disrespectful behavior should they occur;

**14.3.** Will lead by example, acting with Respect and modelling positive relationship building and constructive conflict resolution skills in dealings with all University Members, and in particular, those under their authority;

**14.4.** Are responsible for ensuring University Members under their authority are aware of this Policy and its associated procedures;

**14.5.** Will avoid the appearance of favoritism and unfairness by following and promoting adherence to evidence-based decision-making and the principles of non-Discrimination outlined in this Policy;

**14.6.** Will consider seriously each incident, concern or Report brought forward by taking immediate action to stop any Discrimination, Harassment or other inappropriate behavior, whether the subject of a formal complaint or not, by following policies and procedures to the extent necessary to ensure compliance (note: A Person of Authority cannot agree "to do nothing," even when that is requested by a University Member);

**14.7.** Will inform the Human Rights Office about all activities related to Discrimination and Harassment or other concerns and Reports related to this Policy; and,

**14.8.** Will cooperate with the Human Rights Office to implement recommendations and restore areas under their authority that have been disrupted by alleged or actual Policy violations, or complaint resolution processes.

**15. Human Rights Office**

**15.1.** The Human Rights Office Is responsible for the interpretation and administrative direction of this policy and its associated policies and procedures to ensure their compliance with regulatory requirements and will take primary responsibility for updating related procedures applicable to Employees and Students, ensuring that all related procedures are reviewed as often as is necessary in consultation with all appropriate departments.

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

**a)** receiving and responding to Reports from all University Members while ensuring Reports are responded to appropriately using informal and formal dispute resolution methods in a timely and equitable manner, as outlined in this Policy and in related procedures;

**b)** ensuring the appropriate departments and/or individuals are advised of a Report, where appropriate; and,

**c)** ensuring the outcome of an investigation under this Policy, is communicated in writing to Complainant(s), Respondent(s) and relevant Persons of Authority to support corrective and restorative measures.

**15.3.** The Human Rights Office is also responsible for:

**a)** ensuring that copies of this Policy and related procedures are posted on a University website; and,

**b)** Submitting an Annual Report to the Board of Governors about statistics and trends in human rights complaint activities and other program initiatives

**16. Human Resources**

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

**a)** providing Employees with appropriate information and instruction with respect to Workplace Harassment, including notifying them of this Policy and its related procedures;

**b)** ensuring all Persons of Authority are provided with information and instruction that will enable them to recognize, assess and address Workplace Harassment in their respective workplaces, and will ensure Persons of Authority are aware of this Policy and related procedures;

**c)** ensuring that copies of this Policy and employment-related procedures are posted on the established health and safety bulletin boards where it is likely to come to the attention of Employees; and,

**d)** ensuring the corrective actions taken as a result of an investigation (if any), are communicated in writing to Complainant(s) and Respondent(s) who are Employees;

**16.2.** Human Resources is also responsible for:

**a)** providing Employees and Persons of Authority with appropriate information and instruction with respect to Discrimination and Discriminatory Harassment, including notifying them of this Policy and its related procedures;

**b)** Assisting Persons of Authority, in consultation with the Human Rights Office, to address Microaggressions and other disrespectful behaviors that occur in the employment context; and,

**c)** Assisting Persons of Authority to implement corrective and restorative measures in areas under their authority that have been disrupted by alleged or actual Policy violations, or complaint resolution processes.

**17. Student Life**

**17.1.** Student Life is responsible for:

**a)** Providing Students with appropriate information with respect to Discriminatory Harassment and Discrimination, including notifying them of this Policy and its related procedures; and,

**b)** Assisting Persons of Authority, in consultation with Human Resources and/or the Human Rights Office, to address Microaggressions and other disrespectful behaviors that occur in the academic or on-campus housing context.

## MONITORING AND REVIEW

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

## RELEVANT LEGISLATION

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

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

Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended

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

## RELATED POLICIES, PROCEDURES & DOCUMENTS

**20.** Academic Accommodation for Students with Disabilities [Procedures]

Access to Information and Protection of Privacy Policy

Accessibility [Policy]

Accessible Customer Service [Policy]

Accommodation for Employees and Job Applicants with Disabilities [Procedures]

Change of Gender [Policy]

Exempt Academic Staff [Policy]

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

Freedom of Expression [Policy]

Limited Term Academic Associates [Procedures]

Emergency Management Plan and Procedures

Fair Processes Policy

Non-Academic Staff Policies

Student Sexual Violence Policy and Procedures

Procedures to Prevent and Address Discrimination and Harassment by or Against Employees

Procedures to Prevent and Address Discrimination and Harassment by or Against Students

Records Management Policy

Joint Health and Safety Committee Terms of Reference

Occupational Health and Safety Management System

Student Conduct Policy

Medical Cannabis Use by Students [Procedures]

Service Animals [Procedures]

Use of Memory Aids by Students with Disabilities [Directives]

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

Procedures for Accommodating Employees and Job Applicants with Disabilities

Procedures for Academic Accommodation for Students with Disabilities

| Classification Number | LCG 1149 |
|---|---|
| Framework Category | Legal, Compliance and Governance |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary and General Counsel |
| Approval Date | April 22, 2021 |
| Review Date | April 2024 |
| Supersedes | |

## ACCOMMODATION POLICY

### PURPOSE

1.    The purpose of this Policy is to:

- Commit the University to a barrier-free and inclusive campus environment; and,
- Demonstrate compliance with the obligations and responsibilities, required of the University under its Respectful Campus Policy and by the *Ontario Human Rights Code* ("*the Code*"), the *Accessibility for Ontarians with Disabilities Act* (AODA), and the *Workplace Safety and Insurance Act.*

### DEFINITIONS

2.    "**Accommodation Measures**" are adaptations or adjustments that are required to enable full participation. Accommodation Measures may include, but are not limited to:

- Human support services such as sign language interpreters, readers, etc.
- Technical aids and assistive devices
- Workstation and/or office modifications
- Flexible or alternative work/assignment schedules
- Temporary re-assignments

"**Barriers**" include attitudes (stereotypes or prejudices), designs, policies, practices and rules that prevent full participation of individuals or groups on the basis of a protected Ground

"**Creed**" is not defined in the Code, but courts and tribunals often refer to creed as religious beliefs and/or practices. As creed is not clearly defined, the following characteristics have been relied on when considering whether a belief system is a creed under the Code:

- It is sincerely, freely, and deeply held
- Is integrally linked to a person's identity, self-definition, and fulfilment
- Is a particular and comprehensive, overarching system of belief that governs one's conduct and practices
- Addresses ultimate questions of human existence, including ideas about life, purpose, death, and the existence or non-existence of a creator and/or a higher or different order of existence
- Has some nexus/connection to an organization or community that professes a shared system of belief.

"**Disability**" is defined in the Code as:

- any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical coordination, blindness or visual impediment, Deafness or hearing impediment,

muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device;
- a condition of mental impairment or a development disability;
- a learning disability, or dysfunction in one or more of the processes involved in understanding or using symbols or spoken language;
- a mental disorder; or
- an injury or disability for which benefits were claimed or received under the insurance plan established under the *Workplace Safety and Insurance Act*.

**"Duty to Accommodate"** refers to the obligation to eliminate the disadvantage, to the point of undue hardship, caused by barriers that exclude individuals or groups protected under the Code from participating in all aspects of their employment, academic endeavors, or use of facilities and housing on campus. Failure to meet the Duty to Accommodate is a form of discrimination.

**"Family Status"** is defined in the Code as the status of being in a parent and child relationship. It includes any relationship that is equivalent to the care, responsibilities and commitment of a parent to a child. An adult child who is responsible for the care of a parent (e.g., providing elder care) is also in a relationship that is included in the definition of family status. In order to trigger a Family Status accommodation, the child/parent must be under the supervision or control of the University Member, there must be an essential need or legal obligation that flows from the relationship and the impact must create real disadvantages to the parental-child relationship and the responsibilities that flow from it (i.e. it is not trivial, insubstantial or merely a negative impact).

**"Functional Limitations"** refer to the specific effect(s) an individual's code related needs/obligations impact their ability to access services, facilities and housing and or perform the essential requirements of their academic or employment pursuits. For example, an employee is unable to lift objects greater than 10 pounds due to a disability, or a student will be late for class because they are a single parent and need to drop off their child to daycare at a specific time.

"**Gender Identity & Gender Expression**" are not defined in the Code. Gender Identity is the gender that people identify with or how they perceive themselves, which may be different from their birth-assigned sex. Gender identity is linked to a sense of self, the sense of being woman, man, both, neither or anywhere along the gender spectrum (non-binary). Gender Expression is the way people communicate or express their gender identity publicly; often through behaviour and physical appearance, e.g., dressing, the length and style of hair, or by emphasizing, de-emphasizing or changing physical characteristics. Chosen names and preferred pronouns are also ways in which people express gender. Gender Identity and Gender Expression are completely separate from sexual orientation.

Accommodations on the ground of gender identity or gender expression may be sought relating to:

- Pronouns
- Name and Gender title changes
- Transitioning
- Gender affirming surgery

- Washroom Access
- Locker Room/Change Facilities

**"Interim Accommodations"** are temporary Accommodation Measures that are implemented on a good-faith basis while an accommodation request is under review and are typically reserved for complex cases that may require more time or specialist input to determine whether Accommodation is required and/or to identify and choose appropriate long-term Accommodation Measures.

**"Person(s) of Authority"** includes any person who has charge of a workplace, authority over another Employee or authority in the administration of education. Anyone who supervises an Employee at Ontario Tech University is a Person of Authority. For the purposes of this policy, Faculty members, and Faculty Leadership (e.g. Deans, Associates Deans, etc.) are also considered Persons of Authority vis-à-vis their relationship to students.

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

**"Sex (Including Pregnancy)"** is not specifically defined in the Code, but is considered to be related to a person's biological sex, male or female. Special needs and circumstances that may be experienced as a result of pregnancy are also included within the definition of sex. Special needs can relate to circumstances arising from:

- breastfeeding
- miscarriage or stillbirth
- abortion
- conditions which result directly or indirectly from an abortion/miscarriage or stillbirth
- fertility treatments/ other interventions to get pregnant
- medical complications resulting from pregnancy
- recovery from childbirth
- postpartum depression

**"Undue Hardship"** refers to the scope in which an organization's Duty to Accommodate extends. In most cases, organizations must take all reasonable steps to determine if an individual can be accommodated. However, the Duty to Accommodate does not extend to cases in which Undue Hardship can be demonstrated. The three factors under the Code that can be considered in determining undue hardship are, Cost, Outside Sources of Funding and Health and Safety requirements.

**"University Member"** means any individual who:

- is employed by the University or holds an appointment with the University, including paid, unpaid and/or honorific appointments (**"Employee")**;

- is registered as a student, in accordance with the academic regulations of the University **("Student)**; and/or,

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

**SCOPE AND AUTHORITY**

3. The University Secretary and General Counsel is the Policy Owner. The Policy Owner is responsible for overseeing the implementation, administration, interpretation and application of this Policy.

4. This Policy applies to all University Members in all aspects of their engagement with the University.

5. This Policy does not override or diminish the rights provided to Employees under applicable Collective Agreements. Collective Agreements will supersede this Policy to the extent there is a conflict.

**POLICY**

6. Ontario Tech University is committed to promoting an environment where everyone has an equal opportunity to contribute to their fullest potential and where all are treated with sensitivity, fairness and respect. The University recognizes its duty to accommodate to the point of undue hardship and commits itself to accommodation that reflects the principles of dignity, privacy, individualization and inclusion.

7. Ontario Tech University is committed to fully exploring all requests for accommodation in good faith, and to providing reasonable accommodation when the need for accommodation has been established unless the accommodation would alter a bona fide occupational or academic requirement and/or undue hardship can be demonstrated.

8. Ontario Tech University will consider on a case-by-case basis whether Interim Accommodations can be implemented during the exploration of accommodation requests.

9. Where there are multiple ways to provide accommodation without incurring Undue Hardship, the University reserves the right to accommodate in the manner most consistent with the University's operational and academic requirements.

10. **The Duty to Accommodate: General Principles**

   The University's approach to providing accommodations will be based on the following principles:

   a) **Individualization:** Accommodation is assessed and delivered on an individual basis for persons who make their needs known. Each request must be considered individually in order to meet the specific circumstances of the individual seeking accommodation.

b) **Dignity:** Requests for accommodation must be dealt with in a respectful and timely manner so individuals can fully participate in all aspects of employment, academic endeavors and in the use of facilities and housing.

c) **Privacy**: individuals must be accommodated in ways that respect their right to privacy. Information relating to specific requests for accommodation will be treated as confidential and will only be used for the purpose of assessing and implementing accommodation options and solutions. The consideration of accommodation requests and the search for reasonable accommodation measures will involve the person requiring the accommodation and a Person of Authority. Consultations with third parties with specialized expertise in the development of the accommodation plan may also be required (e.g. the Human Rights Office, Student Accessibility Services and Human Resources).

e) **Inclusion:** The University is committed to ensuring its programs, policies, practices, facilities, services, communications and systems are designed intentionally to foster the full integration of diverse individuals and groups protected under the Code. Periodic proactive reviews of existing policies, rules, practices and procedures to identify and eliminate barriers to access and inclusion can also promote a more inclusive campus while helping to minimize the need for individualized accommodations.

11. **Making a Request for Accommodation**

Although accommodation requests are most commonly made on the grounds of Disability, Family Status, Creed, Sex (more specifically related to pregnancy) and Gender Identity & Gender Expression, requests for accommodation can be made based upon any Protected Ground.

It is typically the responsibility of the University Member to make their Protected Ground-related needs known. Reach out to a relevant Person of Authority for information and assistance and/or to commence the accommodation process. [Note: The University has specialized procedures for Students and Employees related to making disability-related accommodation requests.]

A detailed, written account of your Code-related needs will assist the Person of Authority to understand your situation and will likely expedite the accommodation process. If appropriate and available, provide supporting documentation that verifies the need for accommodation (e.g. a medical form, a child's daycare schedule or a custody agreement). Those requesting accommodation should focus on the Functional Limitations that are impacting their ability to work, participate academically or access other services, facilities or housing, and should avoid requesting specific Accommodation Measures at the outset.

Any University Member may book a consultation meeting with The Human Rights Office for additional information related to this policy instrument or for advice related to their specific circumstances.

12. **Receiving a Request for Accommodation**

Except in relation to disability-related requests, Persons of Authority will determine whether appropriate Functional Limitations have been identified in consultation with

experts as necessary, and if not, will ask the requester to identify appropriate Functional Limitations. Once the functional limitations are identified, the Person of Authority will determine whether the need for accommodation has been verified.

If there is evidence to support the need for accommodation, the Person of Authority will identify and select appropriate accommodation measures in consultation with the individual seeking accommodation. If, on the other hand, the assessment concludes that accommodation is not required, the Person of Authority will advise the individual in writing.

Persons of Authority are encouraged to consult with the Human Rights Office for advice and assistance. In any event, if the Person of Authority concludes that accommodation is not required, they must consult with the Human Rights Office prior to informing the individual.

## 13.    Dispute Resolution

The University has Dispute Resolution procedures to handle allegations of discrimination. University Members who have concerns about the manner in which their request for accommodation has been handled should consult the Respectful Campus Policy and related procedures.


## ROLES AND RESPONSIBILITIES

### 14.    All University Members

1.   Are responsible for familiarizing themselves with this Policy
2.   Will build and maintain positive and productive relationships and demonstrate Respect in their interactions; and,
3.   Will engage the accommodation process in good-faith and in a cooperative manner, which includes making their needs known in a timely fashion, providing additional information about their individualized needs when requested and being open to all reasonable Accommodation Measures.


### 15.    Persons of Authority

1.   Are responsible for ensuring University Members under their authority are aware of this Policy and its associated procedures;
2.   Will respond to requests for Accommodation in good faith, in accordance with related Ontario Tech University policies and procedures, and in consultation with relevant stakeholders;
3.   Will handle requests for accommodation on the ground of "Disability" consistent with applicable procedures for Students and Employees;
4.   Will process requests for accommodation related to all other Protected Grounds pursuant to requirements under this policy, ensuring the University meets its Duty to Accommodate up to the point of undue hardship; and,
5.   Will cooperate with relevant stakeholders in the process of identifying and implementing reasonable Accommodation Measures.

**16.** **Human Rights Office**

1. Is responsible for the interpretation and administrative direction of this policy and its associated policies and procedures to ensure their compliance with regulatory requirements;
2. Will assist University Members to understand their rights and obligations under this policy and provide advice and/or direction; and,
3. Will assist Persons of Authority to assess requests for accommodation and explore reasonable Accommodation Measures.

**17.** **Human Resources**

1. Is responsible for administering the "Procedures for Accommodating Employees and Job Applicants with Disabilities;" and,
2. Will assist Persons of Authority to implement Accommodation Measures in the workplace.

**18.** **Student Life**

1. Is responsible for administering the "Procedures for Academic Accommodation for Students with Disabilities;" and,
2. Will assist Persons of Authority to implement Accommodation Measures for students.

## MONITORING AND REVIEW

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

## RELEVANT LEGISLATION

**20.** Human Rights Code, R.S.O. 1990, c. H.19
Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005
Workplace Safety and Insurance Act

## RELATED POLICIES, PROCEDURES & DOCUMENTS

**21.** Respectful Campus Policy
Accessibility Policy
Procedures for Accommodating Employees and Job Applicants with Disabilities
Procedures for Academic Accommodation for Students with Disabilities
Ontario Human Rights Commission (Policies and Guidelines)

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:** Board of Governors

**DATE:** June 24, 2021

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

**SUBJECT:** Proposed Amendments to By-law No. 1 Arising from Board of Governors Election Teaching Staff Eligibility Arbitration Decision

## COMMITTEE MANDATE:

- Under its Terms of Reference, GNHR is responsible for the oversight of the process of electing new governors and recommending their appointment to the Board, in accordance with the university's Act and By-laws.
- GNHR is also responsible for reviewing the 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.
- **Request:** In accordance with the committee's mandate, we are recommending the proposed amendments to the university's By-law No. 1 for approval by the Board of Governors (see attached).
- These amendments will clarify and improve the language in the By-law and address changes arising from a recent arbitration decision regarding faculty member eligibility for board membership.

## BACKGROUND/CONTEXT & RATIONALE:

- A detailed report setting out the background to the proposed changes to By-law No. 1 was presented to GNHR for consultation on January 28, 2021 and is attached for ease of reference (Appendix A).

**PROPOSED AMENDMENTS TO BY-LAW NO. 1:**
- The proposed amendments to By-law No. 1 (Appendix B) flow directly from the arbitration decision.

**Articles 3.4 and 3.5 of By-law No. 1:**
- The arbitrator relied on section 8(2) of the *University of Ontario Institute of Technology Act, 2002* (the "Act"), which provides:

  *"8(2) The board shall by by-law determine the manner and procedure for the election of members described in paragraph 5 of subsection (1) and eligibility requirements for election to the board. 2002, c. 8, Sched. O, s. 8 (2)."*

- We recommend amending Articles 3.4 and 3.5 of By-law No. 1 to further clarify the Board's authority to establish eligibility requirements and election rules and regulations through policy and procedures. The Board has the authority to approve the amendments under section 9(1)(p) of the Act.

**Article 4.1 of By-law No. 1 – Standard of Conduct:**
- We recommend adding the expectation that governors are able to commit the time to prepare for and attend Board and Committee meetings, as well as to attend university events and support other university endeavours.
- This is an expectation for all governors and is a question asked of all external governor candidates during the interview process.
- In response to the arbitration decision that refers to the requirement for the Board to set eligibility through the By-laws, this will make it explicit that Board members are expected to attend all meetings.

**NEXT STEPS:**
- Changes to By-law No. 1 to be posted online following approval.

**MOTION:**
*That pursuant to the recommendation of the Governance, Nominations, and Human Resources Committee, the Board of Governors hereby approves the proposed amendments to By-law No. 1, as presented.*

- In accordance with Article 16.2 of By-law No. 1, a motion to amend any by-law of the university will not carry unless it receives the affirmative vote of at least two-thirds of the governors present at the meeting.

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**SUPPORTING REFERENCE MATERIALS:**
- Appendix #A – GNHR Report re: Proposed Approach to Board of Governors Election Teaching Staff Eligibility Arbitration Decision dated January 28, 2021
- Appendix #B - Blacklined version of By-law No. 1 showing proposed amendments

# COMMITTEE REPORT

| | | | |
|---|---|---|---|
| **SESSION:** | | **ACTION REQUESTED:** | |
| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☒ |
| | | **Information** | ☐ |

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

**DATE:**      **January 28, 2021**

**PRESENTED BY:**   **Cheryl Foy, University Secretary & General Counsel**

**SUBJECT:**      **Proposed Approach to Board of Governors Election Teaching Staff Eligibility Arbitration Decision**

**COMMITTEE MANDATE:**
- One of GNHR's responsibilities under its Terms of Reference is to oversee the process of electing new governors & recommending their appointment to the Board, in accordance with the university's Act & By-laws.
- **Request:** We are seeking the committee's feedback on the proposed amendments to By-law No. 1 and the relevant policy documents. See attached. These amendments will clarify and improve the By-Law language and address changes arising from a recent arbitration decision regarding faculty member eligibility for board membership.

**BACKGROUND/CONTEXT & RATIONALE:**
- In response to concerns raised during the spring 2018-2019 Board of Governors Election regarding Teaching Staff governor eligibility requirements, GNHR formed a Faculty Governor Working Group to review the matter over the summer of 2018.
- The Faculty Governor Working Group presented their recommendations to the committee for recommendation to the Board for approval.
- Pursuant to the recommendation of GNHR, the Board approved changes to the Board of Governors Recruitment, Appointment and Leadership Policy ("Recruitment Policy") in February 2019 (attached for ease of reference as attachment #1 with relevant sections marked in yellow).
- An overview of the issue giving rise to a policy grievance by the Faculty Association (the "Grievance") is attached as attachment #2.

- An arbitration decision in respect of the Grievance was issued in September 2020 and is attached to this report as attachment #3.

**Key Elements of Arbitrator's Decision:**

Key arbitral findings are:
- The Board has the right to pass a proper by-law setting out qualifications, expertise, and responsibilities for service but must not violate the Collective Agreement (CA).
- Restricting eligibility to faculty members who did not plan to take research leave targeted tenured faculty.
- Others on the Board have full-time jobs and serve on the Board and just because a faculty member is on Research Leave does not mean the faculty member cannot volunteer on the Board.
- Eligibility must be clearly stated in the by-law (not enough that the by-law permits the establishment of a policy).
- Key quotation: "There is nothing in Article 28.03 that could be reasonably interpreted to preclude Board service during a 100% research leave".
- Academic freedom includes the right to stand for election to the Board.
- If the Board has concerns about competencies, attendance, and engagement, they can be addressed separate and apart from this restriction on eligibility.

**Effect of Arbitrator's Decision:**

Based on the reasoning set out in the arbitrator's decision regarding eligibility of Teaching Staff for the Board of Governors, By-Law No. 1, the Recruitment Policy, and Exempt Academic Staff Employment Policy & Deans, Associate Deans and Teaching Staff Governors Procedures should be amended as follows:

**STEP 1 – Amendments to Recruitment Policy**
- Removal of sections 9.6-9.9 from Recruitment Policy in response to Arbitrator's decision.

**STEP 2 – Amendments to By-law No. 1**
- The proposed amendments flow directly from the arbitration decision.
- The arbitrator relied on section 8.2 of the Act, which provides:

*(2) The board shall by by-law determine the manner and procedure for the election of members described in paragraph 5 of subsection (1) and eligibility requirements for election to the board. 2002, c. 8, Sched. O, s. 8 (2).*

- We propose amending Articles 3.4 and 3.5 of By-law No. 1 (as set out in attachment #4) to further clarify the Board's authority to establish eligibility requirements and election rules and regulations through policy and procedures. The Board has the authority to approve the amendments (section 9(1)(p) of the Act).

**Article 4.1 – Standard of Conduct**

- We recommend adding the expectation that governors are able to commit the time to prepare for and attend Board and Committee meetings, as well as to attend university events and support other university endeavours (as set out in attachment #4).
- This is an expectation for all governors and is a question asked of all external governor candidates during the interview process.
- In response to the arbitration decision that refers to the requirement for the Board to set eligibility through the By-laws, this will make it explicit that Board members are expected to attend all meetings.

**STEP 3 – Update Board Election Procedures**

- We recommend updating the Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors ("Election Procedures") to include the declaration statements that must be included in the nomination form.  This will make it clear that the statements must be checked off in order for a nomination to be considered complete.
- Organizational Commitment is considered to be a core competency for potential new Board members.  All external Board candidates are asked the following question:
  - Serving as a Governor will require a commitment of time to prepare for and attend Board and Committee meetings.  As well, Governors are sometimes asked to contribute their time and energy to attend University events or support other University endeavours.  How much time do you anticipate you will have to devote to the Board and what level of flexibility do you have relative to your other commitments?
- We recommend including a statement about the candidate's ability to commit to attending Board and Committee meetings throughout their term.  There is already a similar statement on the declaration form and we propose updating it to make it clearer.
- The proposed amendments to the Election Procedures are set out in attachment #5.

**STEP 4 – Update Exempt Academic Staff Employment Policy & Deans, Associate Deans and Teaching Staff Governors Procedures (attachment #6)**

- These policy documents do not currently include Research Leave for Teaching Staff Governors.
- We recommend asking the AVP, HR to review the *Deans, Associate Deans and Teaching Staff Governors Procedures* to manage the issue of leave for research purposes and Board membership with the stipulation that Teaching Staff Governors are expected to actively participate on the Board while on Research Leave, unless the Board grants the Teaching Staff Governor a leave of absence in accordance with the provisions of Article 3.6(c) in By-law No. 1 and the Board Attendance Policy.

**NEXT STEPS:**

- The policy documents will undergo consultation in accordance with the Policy Framework.

- The relevant policy documents will return to GNHR for recommendation and to the Board for approval.

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**SUPPORTING REFERENCE MATERIALS:**
- Attachment #1 – blacklined Board of Governors Recruitment, Appointment and Leadership Policy
- Attachment #2 – Overview of Issue Giving Rise to a Grievance By the Faculty
- Association #3 – Arbitration Decision
- Attachment #4 – blacklined By-law No. 1
- Attachment #5 – blacklined Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors
- Attachment #6 – Exempt Academic Staff Employment Policy & Deans, Associate Deans and Teaching Staff Governors Procedures

| Classification | BRD 1000 |
|---|---|
| Framework Category | Board |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary |
| Approval Date | February 28, 2019 |
| Review Date | March 2022 |
| Supersedes | Amendment, June 18, 2014 Original Approval, April 24, 2014 |

## BOARD OF GOVERNORS RECRUITMENT, APPOINTMENT AND LEADERSHIP POLICY

**PURPOSE**

1.      The purpose of this policy is to define the method by which the Board of Governors will carry out the recruitment, appointment and re-appointment of members to the Board of Governors. Additionally, this policy outlines the process by which the Board of Governors will address the election, appointment and succession planning for leadership positions of the Board (Chair and Vice-Chair(s)) and its Committees.

**DEFINITIONS**

2.      For the purposes of this policy the following definitions apply:

**"Administrative Staff"** means full-time continuing and part-time continuing employees of the University who are not members of the Teaching Staff.

**"Administrative Staff Governor"** means a member of the Board who is elected by and from within the Administrative Staff of the University.

**"Board**" means the Board of Governors of the University.

**"Committee**" means any standing committee or sub-committee of the Board, established in accordance with the UOIT Act and By-laws.

**"Corporations Act (Ontario)"** means the Corporations Act, RSO 1990, c C.38, and any amendments thereto.

**"Disqualifying Final Disciplinary Decision"** is a decision under the Student Conduct Policy, as amended, which has not been appealed or has been upheld on appeal and which, in the discretion of the Governance, Nominations and Human Resources Committee of the Board, indicates that the student candidate or Student Governor does not demonstrate the core competencies expected of all Governors.

**"External Governor"** means an appointed member of the Board who is external and independent from the University.

**"Elected Governors"** means the members of the Board who are elected from within their relevant constituencies at the University.   This includes Administrative Staff, Student and Teaching Staff Governors.

**"Clear Academic Standing"** has the meaning ascribed to it in the General Academic Regulations of ~~UOIT~~the university, as amended.

**"Good Standing"** means both that there is no record of a Disqualifying Final Disciplinary Decision  and the student is in Clear Academic Standing.

**"Research Leave"** has the meaning ascribed to it in the relevant Collective Agreement.

**"Student Governor"** means a member of the Board who is elected by and from within the student population of the University.

**"Teaching Staff"** means those positions engaged in the work of teaching or giving instruction or in research at the university as defined in Section 1 of the ~~UOIT~~ Act.

**"Teaching Staff Governor"** means a member of the Board who is elected by and from within the Teaching Staff of the University.

**"The By-laws"** means By-Law Nos. 1 and 2 of the University of Ontario Institute of Technology, and any amendments thereto.

**"~~UOIT~~ Act"** means the University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O, and any amendments thereto.

**SCOPE AND AUTHORITY**

**3.** This policy applies to the recruitment, election, appointment and re-appointment of members to the Board.

**4.** This policy and the related procedures are established in accordance with the ~~UOIT~~ Act and The By-laws as amended from time to time

**POLICY**

**5.** Achieving excellence in governance and ensuring performance and accountability in the management of the affairs of the University is the primary mission of the Board. To meet this obligation, the Board has developed a policy that will:

- Establish membership and leadership for the Board that demonstrates a balance of skills, expertise and knowledge, while reflecting broad demographic and cultural diversity.

- Support transparent and effective processes for the recruitment, review, appointment and election of members to the Board and its leadership positions.

**6.** **Board Composition: Skills and Competencies**

**6.1.** The ~~UOIT~~ university's Board of Governors is a competency-based Board and its composition will reflect the knowledge, skills and abilities necessary for it to govern effectively and meet the strategic goals of the University.

**6.2.** Overall Board composition, and selection of individual members, will be based on the requisite skills and competencies set out in the Board Skills and Competencies Matrix (Matrix) as amended from time to time.

**6.3.** The Governance, Nomination and Human Resources Committee (GNHR), or its successor Committee, will be responsible for annually reviewing the Board composition and identifying any skill or competency gaps. This assessment will form the basis of recruitment of new members and recommendation for appointment to any vacancies on the Board.

7. **Recruitment and Appointment: General**

**7.1.** In addition to the requirements set out in the ~~UOIT~~ Act and The By-laws, all appointments to the Board must be made in accordance with the regulations set out in the Corporations Act (Ontario) for Corporations without Share Capital.

**7.2.** The process of recruitment, screening, selection, election, and recommendation for appointment to the Board will be overseen by GNHR, in accordance with the associated procedures.

8. **Recruitment and Appointment: External Governors**

**8.1.** Term lengths for External Governors are defined in sections 8(3) and 8(5) of the ~~UOIT~~ Act.

**8.2.** GNHR, or its successor Committee, will recruit, screen, and maintain a pool of eligible candidates for appointment to the Board, based on an assessment of the skills and competencies needed to fill any identified gaps.

**8.3.** GNHR, or its successor Committee, will actively seek to broaden the demographic and cultural diversity of the Board when recruiting eligible candidates to fill any identified gaps.

**8.4.** Candidates may be referred by any member of the current Board, University Senior Leadership or other member of the University community.

**8.5.** Eligible candidates will remain in the pool for three (3) years.

**8.6.** GNHR, or its successor Committee, will make recommendations to the Board from the pool of eligible candidates for the appointment of new members.

9. **Recruitment and Appointment: Elected Governors**

**9.1.** Term lengths for Elected Governors are defined in sections 8(3), 8(4) and 8(5) of the ~~UOIT~~ Act.

**9.2.** GNHR, or its successor Committee, will be responsible for overseeing the recruitment, nomination, and election procedures for Elected Governors.

**9.3.** Elected Governors will be recruited, nominated, and elected from within their respective constituency groups at the University.

**9.4.** The respective constituencies will be provided with information regarding the requisite skills and competencies for Board members in order to facilitate the nomination and

election of Elected Governors who can meet the needs and obligations of Board membership.

9.5.   In accordance with Article 3.4 of By-Law No. 1, in order to be eligible to be nominated or to remain as an Administrative Staff Governor or Teaching Staff Governor, individuals must be employed by the University. Such Governors will automatically cease to hold office if they cease to be employees of the University.

**Teaching Staff Governor Eligibility**

9.6.   Teaching Staff who:

    a)   have been granted a six (6) month Research Leave; or

    b)   submitted a request for a six (6) month Research Leave; or

    c)   are planning to submit a request for a six (6) month Research Leave

that will commence at any time during the first year of their prospective first term on the Board are ineligible to be nominated as a candidate for the position of Teaching Staff Governor.

9.7.   Teaching Staff who:

    a)   have been granted a twelve (12) month Research Leave; or

    b)   submitted a request for a twelve (12) month Research Leave; or

    c)   are planning to submit a request for a twelve (12) month Research Leave

that will commence at any time during the first two (2) years of their prospective first term on the Board are ineligible to be nominated as a candidate for the position of Teaching Staff Governor.

9.8.   In the event that a Teaching Staff Governor is granted a twelve (12) month Research Leave that will commence prior to the end of her/his term on the Board, the Teaching Staff Governor will cease to hold office as a Teaching Staff Governor effective as of the start date of the Research Leave.

9.9.   In the event that a Teaching Staff Governor is granted a six (6) month Research Leave that will commence during the second or third year of her/his term on the Board, assuming the Teaching Staff Governor obtains the written agreement of the relevant Dean in accordance with the terms of the applicable Collective Agreement, the Teaching Staff Governor may continue to serve on the Board for the remainder of the term.

9.10.  In order to be eligible to be nominated or to remain as a Student Governor, a student must be a full-time, registered undergraduate or graduate student, in Good Standing.

## 10. Election and Selection of Chair, Vice-Chairs and Committee Chairs

10.1.  In accordance with Section 8(13) of the ~~UOIT~~ Act, the Chair and Vice-Chair(s) shall be elected on an annual basis.

    10.1.1.  There will be one (1) Chair who will normally be nominated and elected from the incumbent Chair or Vice-Chairs.

**10.1.2.** An incumbent Chair will have the opportunity to express interest in re-election to the Chair position, provided such person is within the normal term length for an External Governor.

**10.1.3.** There will be two (2) Vice-Chairs who will normally be nominated and elected from the incumbent Vice-Chair(s) or Committee Chairs.

**10.1.4.** The incumbent Vice-Chair(s) will have the opportunity to express interest in re-election to the Vice-Chair positions, provided such person is within the normal term length for External Governors.

**10.2.** Committee Chairs will normally be recruited from within the incumbent External Governors.

**10.2.1.** External Governors will have an opportunity, on an annual basis, to express interest in Committee Chair positions.

**10.2.2.** Committee Chairs be selected from members who have demonstrated a high degree of commitment to the University, the Board and its Committees and who meet the desired skill and competency profile for leadership of the respective Committee for which they are being considered.

**11. Review of Chair, Vice-Chairs and Committee Chairs**

**11.1.** The Board Chair, Vice-Chairs and Committee Chairs will be evaluated on an annual basis.

**11.2.** Annual evaluations will be used to support the ongoing improvement of Board processes as well as in the consideration of incumbent nominees for re-election to Board leadership positions.

**12. Vacancies**

**12.1.** Vacancies in Board membership that occur prior to the end of the appointment term of a Governor will be filled in accordance with Article 3.6 of By-law No. 1.

**12.2.** Vacancies in any of the Board Chair, Vice-Chair or Committee Chair positions that occur before the end of the appointment term will normally be filled on an acting basis until GNHR can recommend a new nominee for election or selection.

**12.2.1.** A vacancy in the Chair position will normally be filled by one of the Vice-Chairs.

**12.2.2.** A vacancy in one of the Vice-Chair positions will normally be filled by an incumbent Committee Chair. The selected individuals will maintain their Committee Chair role on a temporary basis until the end of the year.

**12.2.3.** A vacancy in a Committee Chair position will normally be filled by a Committee member.

**RELEVANT LEGISLATION**

**13.** University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Laws of the University of Ontario Institute of Technology

Corporations Act, RSO 1990, c C.38


**RELATED POLICIES, PROCEDURES & DOCUMENTS**

**14.**     Board of Governors and Committees Skills and Competency Matrix
General Academic Regulations, University of Ontario Institute of Technology
~~UOIT~~ Student Conduct Policy
Governance, Nominations and Human Resources Committee Terms of Reference
Board Leadership Nominating Committee(s) Terms of Reference**
Procedures for the Referral of Candidates to the Board of Governors**
Procedures for the Appointment of External Governors**
Procedures for the Election of Administrative Staff, Students and Teaching Staff Governors
Procedures for the Election of Board Chair, Vice-Chairs and Appointment of Committee Chairs**
Board Evaluation Policy**
Board Chair Position Statement **
Board Vice-Chair Position Statement**


*\*\*To be developed*

**Attachment #2**

***Overview of Issue Giving Rise to a Grievance By the Faculty Association:***
- The 2018-2019 Board of Governors Election took place from February 26 - April 6, 2018.
- We received five nominations for the two Teaching Staff Governor positions on the Board.
- In order to confirm eligibility to serve on the Board, each nominee was asked to advise whether she/he had research leave scheduled or she/he would be requesting research leave during the next two years.
- Three nominees responded that they planned to request research leave during the next two years. One nominee withdrew as a candidate. The two other nominees were advised that they were ineligible due to their planned research leave requests.

***Faculty Governor Working Group (FGWG)***
- The decision to disqualify certain faculty raised concerns with the faculty themselves.  Faculty Board members also raised concerns. In order to address the concerns, a working group was formed to review the research leave eligibility requirement and to make a recommendation to GNHR.
- The members of the FGWG were:  Cheryl Foy (Chair), Robert Bailey and the two faculty governors (terms ending August 31, 2018): Jeremy Bradbury, and Shirley Van Nuland.
- The FGWG was guided by the following considerations:
  - regular attendance at Board & Committee meetings is required (the limit of missing three meetings is not intended to be permissive - it triggers a review of the Board member's status on the Board)
  - governors' fiduciary obligations
  - the practice of appointing elected faculty for three-year terms allows faculty Board members to become familiar with Board operations & then serve as effective Board members - any recommendation should ensure that faculty Board members have an opportunity to become familiar with the Board & serve effectively
  - minimize disruption & turnover of Board members
  - existing leave restrictions/parameters & the impact of the solution on decanal discretion relating to research leave
  - respect for the Collective Agreement provision indicating that research leave is to be reserved for 100% research activity (no requirement to provide "Service" – Board of Governor membership would normally constitute Service).
  - any recommendation must be consistent with the Act, By-Laws, and governance good practices
- The FGWG made recommendations and the Board of Governors Recruitment, Appointment and Leadership Policy was amended.
- The Faculty Association filed a policy grievance regarding the eligibility requirements.

**IN THE MATTER OF AN ARBITRATION**

**BETWEEN:**

**The University of Ontario Institute of Technology**

**and**

**The University of Ontario Institute of Technology Faculty Association**

**(Policy Grievance re: BOG)**

**Before**:                William Kaplan
                              Sole Arbitrator

**Appearances**

**For the University**:      George Avraam
                              Ajanthana Anandarajah
                              Baker & McKenzie
                              Barristers & Solicitors

**For the Association**:     David Wright
                              Ryder Wright Blair & Holmes
                              Barristers & Solicitors

The matters in dispute proceeded to a hearing by Zoom on August 27, 2020.

**Introduction**

This case concerns an April 2018 policy grievance filed by the Faculty Association at the University of Ontario Institute of Technology (hereafter "the Association" and "the University"). Summarily stated, the dispute arose for the following reason: The University took the position that otherwise eligible faculty members who were on, or who would be applying for, a research leave – a cohort of only tenured members – could not seek election and serve on the Board of Governors (hereafter "the BOG") if their research leave would overlap with part of their three-year BOG term. Three faculty members were excluded from running for election.

The explanation for the restriction advanced by the University was that pursuant to Article 28 of the collective agreement, faculty members on research leave are to devote 100% of their time to research. The University also takes the position that the grievance was not arbitrable as election to the BOG does not involve the collective agreement but is an independent process governed by BOG rules. For its part, the Association took the position that the collective agreement was fully engaged as the BOG was the employer and was bound by the terms and conditions of the collective agreement. In the Association's submission, the effect of the prohibition was to potentially exclude tenured faculty members from ever serving on the BOG as they are eligible for a research leave every three years (although, as noted below, a new less strict policy was promulgated in the aftermath of these events). The dispute proceeded to mediation on May 26, 2020, and then to a hearing by Zoom on August 27, 2020.

**The Collective Agreement**

**Article 4 – Management Rights**

4.01 The Employer retains the exclusive right to manage the University which includes policy formulation and execution, except to the extent modified by the terms of this Agreement and provided this right is exercised in a fair, reasonable and equitable manner.

**Article 14 – Academic Freedom**

14.02 Academic freedom of Faculty Members resides at the core of the University's mission....

**Article 16 – Academic and Professional Career/Workload**

...

b) Faculty Members have the right and responsibility to engage in an appropriate combination of the following activities:
i. Research: Whereby Faculty Members make original contributions to their fields of learning.
ii. Teaching: Whereby Faculty Members convey information and techniques to students and fodders critical and creative thinking.
iii. Service: Whereby Faculty Members contribute to the governance of the University through active and engaged participation on its collegial and administrative bodies....

**Article 28 – Leaves of Absence**

...

28.03 Research Leave
a) Faculty Members with tenure are eligible for Research leave for a period of up to, but not exceeding, twelve (12) months, after completing six (6) Appointment Years of full-time Research, Teaching and Service, unless a period of less than six (6) Appointment Years is specified in the Faculty Member's letter of appointment.
b) For clarity the workload of a Faculty Member on Research Leave is 100% Research, 0% Teaching, and 0% Service. Any variation from this must be documented and have the mutual agreement by the Faculty Member and the Dean.

**Some Background Facts**

Elections to the BOG were held in late winter/early spring 2018. There was no specific policy or by-law in place, at the time, restricting faculty members eligible for a research leave during their prospective BOG term from seeking election – although there was some contested extremely limited anecdotal evidence about a past practice to the effect.  There was also some contested extremely limited anecdotal evidence to the contrary. Given its nature and scope, none of this is of any legal or factual significance.

In any event, five faculty were nominated for two faculty positions on the BOG. Prior to the election, all five were contacted and asked if they intended to take a research leave in the next two years, i.e., the first two years of their three-year term. They were asked to complete a form providing this information. While forms had been used in the past, this was the first time the research leave question was asked. Three faculty members who expressed interest in taking a research leave during the BOG term were deemed ineligible to stand for election because of Article 28.03. Two of the five faculty were deemed eligible and they were acclaimed. A grievance was filed. The BOG also convened a subcommittee to look into the matter and it adopted a policy – not a by-law – addressing eligibility issues for faculty members on research leave, but one that still imposes significant fetters on tenured faculty.

**Submissions**

In the Association's submission, the starting point was with applicable legislation,
the *University of Ontario Institute of Technology Act, 2002* (hereafter "*the Act*"). *The
Act* – which Association counsel extensively reviewed – made manifest that the BOG
was the employer, it was the University, and it was bound by the collective
agreement. Indeed, when faculty members were told they were ineligible to serve,
their attention was drawn to Article 28.03 affirmatively establishing the collective
agreement's application to this dispute and, accordingly, conferring arbitral
jurisdiction. Other collective agreement provisions, in the Association's view,
confirmed this conclusion.

Under the Management Rights clause the University had to exercise its functions in a
fair, reasonable and equitable manner. Moreover, faculty members enjoyed
academic freedom and it was axiomatic, and widely accepted, that academic
freedom includes the right to participate in collegial governance. Indeed, in the
Association's view, this entitlement was unequivocally set out in Article
16.01(b)(iii). An arbitrary rule that effectively excluded tenured faculty members
from BOG service was completely inconsistent with the Management Rights
provision, Academic Freedom and the right of faculty members to participate in
collegial governance. This conclusion was reinforced by the fact that no other faculty
members were prohibited from service – including those on a variety of other leaves
such as maternity, parental or professional development.

The Association did not dispute that the University had the legal right to determine aspects of BOG eligibility – but it had to do so in a proper way – and that meant compliance with *the Act* through passage of a proper by-law. That also meant that while doing so it had to respect its obligations under the collective agreement. Significantly, there was no policy or by-law in place in the late winter/early spring of 2018 restricting faculty on 100% research leave from BOG service. Nevertheless, the University took unilateral steps and prohibited tenured faculty members from putting themselves forward for election.

It was also noteworthy, in the Association's view, that when the BOG considered this issue in the aftermath of the spring 2018 election, it promulgated a new policy, instead of passing a by-law as it was legally required to do. The new policy continued to breach the collective agreement, just like the old one, the Association argued, but making matters even worse, it was of no legal force or effect in the Association's opinion because a by-law was not passed as is categorically required.

The BOG certainly had the right to pass a proper by-law setting out competencies, qualifications, expertise and responsibilities for service, but it could not do so if it violated negotiated provisions of the collective agreement. Likewise, it could not do so where the result was completely discriminatory: intentionally or not, the restrictions targeted tenured faculty members to the exclusion of everyone else. It was also worth mentioning, the Association argued, that virtually everyone else who served on the BOG was either fully employed at the University or elsewhere, and it

was nowhere suggested that these full-time activities somehow interfered with BOG service. Simply because a faculty member was fully engaged with research did not mean that she or he could not fulfill BOG duties. The former did not preclude the latter, nor was it inconsistent with it. The Association asked that the grievance be allowed, appropriate declarations issued, and that I remain seized should any implementation issues arise.

For its part, the University took the position that the BOG was fully entitled to determine eligibility for membership, and that included its good faith determination that someone who was 100% engaged in research should not be allowed to serve. To whatever extent faculty members could decide on their University service, that did not give them the right to serve on the BOG or otherwise. Collective agreement references to the BOG were scant, and BOG members were excluded from coverage during their term. The fact of the matter was that a BOG member who took a 100% research leave would be unavailable for many months depending on the length of their leave. In determining that such persons should not, because they could not, serve on the BOG, the BOG was properly exercising its statutory powers.

The University also took the position that there was nothing in the collective agreement that entitled the Association to challenge or contest the BOG's determination of its membership. The BOG was separate and apart from the University. The latter was bound by the collective agreement; the former was not. BOGs act through by-laws, reflected in turn by more detailed policies giving effect to

those by-laws. And that is exactly what happened here. The decisions that were taken were reflected in past practice, fully lawful, appropriately authorized and made in good faith for legitimate operational reasons. Whether earlier nomination forms asked about current or future research leaves or had evolved over time, was neither here nor there and was immaterial to the threshold jurisdiction issue. There was, in any event, ample rationale for the decision that the BOG reached, one that was not subject to arbitral review. The University asked that the grievance be dismissed.

**Decision**

Having carefully considered the evidence, I conclude that the collective agreement is engaged, has been breached, and the grievance is, therefore, allowed.

In my view, following a thorough canvass of the legislative framework and the collective agreement, the conclusion is inescapable that the collective agreement applies. Under section 2(2)  "The University….shall consist of members of the board." Under section 9.1 of *the Act*, the BOG is responsible for governing and managing the University. The University acts through the BOG. There are numerous references to the Board in the collective agreement. Under section 8(1) of *the Act* the composition of the BOG is prescribed. But under section 8(2) the BOG may "by by-law determine the manner and procedure for election of members….and eligibility requirements for election to the board" and it can amplify that in policies, provided that doing so does not violate negotiated entitlements in the collective

agreement. There is no power to set *ad hoc* election eligibility requirements, even if well intentioned.

In this case, not only has no by-law been passed, but the policy that was promulgated subsequent to the grievance infringes on the collective agreement. It is true enough that a faculty member who is elected to the BOG is no longer covered by the collective agreement for the period of their term. However, in seeking election to the BOG, a faculty member may rely on the terms and conditions of the collective agreement and the corollary of this is that the University cannot infringe on them. Management Rights, Academic Freedom and Article 16(b)(iii) are directly engaged by this grievance conferring jurisdiction and making this grievance arbitrable.

There is nothing in Article 28.03 that could be reasonably interpreted to preclude BOG service during a 100% research leave. Put another way, experience indicates that the purpose of provisions such as this are to limit what other duties *can be assigned* during the period of the research leave: namely, none (emphasis mine). This overall conclusion is reinforced by the discriminatory effect of the rule with its unfortunate effect of largely precluding tenured faculty from collegial governance. Faculty members enjoy academic freedom and that includes the right, as provided for in this collective agreement in Article 16(b)(iii), to stand for election to the BOG. There is nothing about being on a 100% research leave that is inconsistent with BOG service. The actions in the late winter/early spring of 2018 precluding tenured track faculty members with already approved research leaves, or faculty members

who were entitled to a research leave and who anticipated taking one, from BOG

service was not fair, reasonable or equitable. To the extent the BOG has legitimate

concerns about competencies, attendance and engagement, they can be addressed

separate and apart from this restriction on eligibility. To the extent a faculty

member fails to accomplish their research leave objectives by failing to properly

dedicate themselves during that leave, that too is something that the University can

address.

**Conclusion**

Accordingly, and for the foregoing reasons, the grievance is allowed and a

declaration of collective agreement breach, together with a cease and desist, is

issued. At the request of the parties, I remain seized with respect to the

implementation of this award.

DATED at Toronto this 3rd day of September 2020.

*"William Kaplan"*

William Kaplan, Sole Arbitrator

**OntarioTech**
UNIVERSITY

**UOIT BY-LAW 1**

**BY-LAW NUMBER 1 OF THE UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**

*(being a by-law to regulate generally the affairs of the University)*

BE IT ENACTED AND IT IS HEREBY ENACTED as a by-law of the University as follows:

**DEFINITIONS**

In this By-law:

a. "Act" means the *University of Ontario Institute of Technology Act, 2002*.
b. "Administrative Staff" means full-time continuing and part-time continuing employees of the University who are not members of the Teaching Staff.
c. "Board" means the Board of Governors of the University.
d. "By-laws" means this by-law and any other by-laws of the University as they exist from time to time.
e. "Chair" means the person elected or appointed to the position of chair of the Board.
f. "Chancellor" means the person appointed by the Board, pursuant to s. 11 of the Act, to be the chancellor of the University.
g. "Governor" means a member of the Board.
h. "*In Camera*" means a meeting, or a portion of a meeting, that includes Governors and only those individuals invited by the Board to attend, at which no motions are made and no minutes are recorded.
i. "Non-Public" means a meeting that includes Governors and only those individuals invited by the Board to attend.

j.   "President" means the person appointed to be the president, chief executive officer and vice-chancellor of the University.
k.   "Public" means a meeting open to all individuals, both internal and external to the University.
l.   "Secretary" means the secretary of the Board.
m.   "Student" means a student who is registered throughout the academic year as a full-time student in accordance with the academic regulations of the University.
n.   "Teaching Staff" means professors, associate professors, assistant professors, lecturers, associates, instructors, tutors and all others engaged in the work of teaching or giving instruction or in research at the University.
o.   "University" means the University of Ontario Institute of Technology.
p.   "University Officer" means any duly appointed officer of the University in accordance with Article 5.1, including "designated executives" as defined in the *Broader Public Sector Executive Compensation Act, 2014*, as amended or replaced.
q.   "Vice-Chair" means the person elected or appointed to the position of vice-chair of the Board.
r.   "Vice-President" means a vice-president of the University.

In the event of a conflict between any provision of the Act and any provision of the By-laws, the provision of the Act prevails to the extent of the conflict.

**ARTICLE 1 - INTERPRETATION**

1.1   In all By-laws of the University, where the context so requires or permits, the singular shall include the plural and the plural shall include the singular, and the word "person" shall include firms and corporations.

1.2   In all By-laws and resolutions of the University, unless the context otherwise requires, words and expressions have the same meaning as defined in the Act.

1.3   References in all By-laws and resolutions of the Board to the Act shall, unless the context otherwise requires, mean and include that Act and any amendments thereto from time to time or any act that may hereafter be substituted therefor.

1.4   The marginal notes and headings in the body of this By-law do not form part hereof and are inserted for convenience of reference only.

**ARTICLE 2 - HEAD OFFICE AND SEAL**

2.1   **Head Office**

The head office of the University shall be in the City of Oshawa in the Regional Municipality of Durham in the Province of Ontario and at such place therein as the Board may from time to time determine.

2.2     **Seal**

The seal, an impression whereof is stamped in the margin hereof, shall be the corporate seal of the University. The Secretary shall be responsible for the custody of the seal and for maintaining a record of its use.


**ARTICLE 3 – BOARD COMPOSITION**

3.1     **All Governors**

In addition to other qualifications set forth in the Act or in the By-laws, all Governors will also meet the qualifications prescribed for directors of corporations without share capital under the *Corporations Act (Ontario)*, RSO 1990 (as amended or replaced) and other qualifications which may be prescribed by legislation for governors of a university in Ontario.

3.2     **Appointed Governors**

The Governors appointed pursuant to paragraphs 4 and 5 of subsection 8(1) of the Act shall be appointed in such manner as the Board will determine and shall retire in rotation so that normally one-third of such governors will retire and be appointed in each year. Normally, the term begins on the first day of September.

3.3     **Elected Governors**

In accordance with paragraph 5 of subsection 8(1) of the Act, four of the Governors shall be elected as follows:

a.   two shall be elected by and from the full-time Teaching Staff of the University;

b.   one shall be elected by and from the Administrative Staff of the University; and

c.   one shall be elected by and from the Students.

3.4     The Board shall establish eligibility requirements, rules, and regulations governing the election of the Teaching and Administrative Staff through policy and procedures. approve the rules and regulations governing the election of the Teaching and Administrative Staff. Teaching and Administrative Staff Governors shall be persons who, at the time of their election and during their term on the Board, are employed by the University. Such Governors shall automatically cease to hold office if they cease to be employees of the University.

3.5     The Board shall establish eligibility requirements, rules, and regulations governing the election of the Student Governors through policy and procedures. approve the rules and regulations governing the election of Student Governors. Student Governors shall be persons who, at the time of their election and during their term on the Board, are registered and in good standing. Such Governors shall automatically cease to hold office if they cease to be registered and in good standing.

**Commented [BD1]:** Amended to align with the Board of Governors Recruitment, Appointment and Leadership Policy eligibility requirements

3.6     **Membership Vacated**

The membership of a Governor is vacated when:

a. such Governor resigns or ceases to be eligible for appointment or election to the Board;

b. such Governor becomes incapable of acting as a Governor and the Board declares such membership vacant;

c. within any twelve month period, a Governor of the Board, other than an ex-officio Governor and a Governor who has been granted a leave of absence by the Board, is absent for four consecutive regular meetings of the Board, or attends less than 50 per cent of such regular meetings in any year from September 1 to August 31. In any such case, the Board may, by resolution, declare his or her membership vacant; or

d. the Board, in its sole and absolute discretion, rescinds a Governor's membership on the Board on the basis that the Governor has not met the standard of conduct set out herein or described in other applicable Board policies or agreements.  In the event the Governor is serving as a Lieutenant Governor in Council (LGIC) appointee, the rescission will take effect on the date on which the LGIC approves the Board's request for rescission.

3.7    The Board's declaration that a Governor's membership on the Board is vacated shall be made by a resolution of the Board carried by at least two-thirds of the votes cast by the Governors at a meeting of the Board. Such declaration may not be made until after the delivery of written notice of the proposed declaration of the Board and the reasons therefor to the Governor affected at such electronic or most recent address appearing in the records of the Board.

The resolution declaring the vacancy on the Board shall be entered in the minutes of the Board and shall be conclusive evidence of the vacancy.


**ARTICLE 4 - STANDARD OF CONDUCT**

4.1    Governors are fiduciaries of the University and are expected:

a. to meet the requirements of the Act, the By-laws and applicable policies, including, without limitation, the standard of conduct prescribed in section 9(3) of the Act;

b. to exercise their duties in the best interests of the University, consistent with its objects and mission, rather than in the interests of any other person, entity or constituency;

c.  to commit the time to prepare for and attend Board and Committee meetings throughout the duration of their term, as well as to attend university events and support other university endeavours;

cd. to respect their duty of confidentiality with respect to Board matters; and

de. to adhere to the Conflict of Interest requirements in this By-Law and in any applicable University policy, as approved by the Board from time to time.

4.2 **Conflict of Interest**

"Conflict of Interest" means a situation in which a person has a personal interest that conflicts, might conflict or may be perceived to conflict with the interests of the University. Conflicts of interest may arise in relation to personal matters including:

a. directorships or other employment;

b. interests in business enterprises or professional practices;

c. share ownership;

d. beneficial interests in trusts;

e. existing professional or personal associations with the University; Professional associations or relationships with other organizations;

f. personal associations with other groups or organizations, or

g. personal or family relationships.

4.3 Governors who believe that they may have a Conflict of Interest shall:

a. declare the nature and extent of the interest as soon as possible and no later than the meeting at which the matter is to be considered, and, if requested by the Board;

b. refrain from taking part in any discussion or vote related to the matter; and/or

c. withdraw from the meeting when the matter is being discussed.

4.4 A Student Governor or a Governor whose partner or relative is a Student, may take part in discussions and vote on all matters relating generally to the operations of the University, except for those matters which deal with the circumstances of the particular Student as an isolated issue, separate and apart from consideration of the other Students of the University.

4.5 A Teaching or Administrative Staff Governor or a Governor whose partner or relative is an employee of the University, may take part in discussions and vote on all matters relating generally to the operations of the University including, without limitation, issues concerning general conditions of employment for employees of the University, unless the discussion and voting deal with the circumstances of the particular employee as an isolated issue, separate and apart from consideration of the other employees of the University.

4.6 A Governor who has declared an interest in a contract or transaction, or a proposed contract or transaction, and who has not voted in respect thereof, shall not be accountable to the University, or its creditors, for any profit realized from the contract and the contract is not voidable by reason only of the Governor holding that office or of the fiduciary relationship established thereby.

**ARTICLE 5 - OFFICERS**

5.1     **University Officers**

The President is hereby designated a University Officer. Other University Officers may be designated by the Board or approved by the Board on the recommendation of the President.

5.2     **Election of Chair and Vice-Chair**

The Board shall elect annually a Chair and at least one, and normally no more than two, Vice-Chairs from among its Governors (the "external Governors") who were appointed pursuant to paragraphs 3 and 4 of subsection 8(1) of the Act.

5.3     **Appointment of the Secretary and Other Officers of the Board**

The Board shall appoint a Secretary and such other officers of the Board as the Board may determine from time to time by resolution.

5.4     **Duties of Chair and Vice-Chair**

The Chair shall preside at all meetings of the Board.

5.5     The Chair, together with the Secretary, shall sign all by-laws. During the absence or inability of the Chair, the duties and powers of the Chair may be exercised by the Vice-Chair, and if the Vice-Chair or such other external Governor as the Board may, from time to time, appoint for the purpose, exercises any such duty or power, the absence or inability of the Chair shall be presumed without reference thereto. The Chair shall be a member of all Board Committees, whether standing, special or ad hoc. In addition to other committee memberships, the Vice-Chair shall be a member of any presidential search committee.

5.6     **Duties of Secretary**

The Secretary shall: give notice of and attend all meetings of the Board and keep regular minutes of all the proceedings thereat; prepare and maintain a record of the current membership with their mailing addresses furnished by the Governors; use such means as he or she deems necessary to record the proceedings of the meetings of the Board; keep minutes of the proceedings of all committees of the Board; prepare all resolutions, reports or other papers which the Board may direct, and all copies which may be required of any such documents and papers; discharge such other duties as are prescribed by the By-laws of the University or as may be assigned by the Board or by the Chair thereof.

**ARTICLE 6 - MEETINGS**

6.1     **Meetings of the Board**

Board meetings may be formally called by the Chair, the Vice-Chair or the President. Board meetings may also be called by the Secretary on the direction in writing of eight

Governors. Notice of such meeting shall be given to the public by posting on one or more notice boards on campus and delivered, telephoned, or sent electronically to each Governor not less than seven days before the meeting is to take place in the case of regular meetings and not less than two days before the meeting is to take place in the case of special meetings. (In either case, the day of the meeting shall not be counted.) The written declaration of the Secretary or the Chair that notice has been given pursuant to the By-laws shall be sufficient and conclusive evidence of the giving of such notice. The Board may appoint a day or days in any month or months for regular meetings at an hour to be named and, in respect of such regular meetings, no notice need be sent. The Governors may consider or transact any business, either special or general, at any meeting of the Board provided that advance notice of any such special business is given in accordance with the policies and procedures approved by the Board.

No formal notice (except for the said notice to the public) of any such meeting shall be necessary if all of the Governors are present or if those absent have signified their consent to the meeting being held in their absence.

6.2     The agenda for each Board meeting will be prepared by the Secretary in consultation with the Chair and the President and will be approved by the Chair.  Each meeting of the Board will terminate after three hours from its commencement or on completion of the business before the Board at the meeting, whichever is earlier, unless the Board agrees to extend the time of termination beyond the three hour maximum by way of a motion passed by a simple majority of the Governors present.

6.3     Whenever, under the provisions of the By-laws, notice is required to be given to an individual, such notice may be given either personally or electronically (as provided above), or by depositing same in the post office or a public mail box, in a prepaid, sealed envelope addressed to the Governor at the most recent address recorded on the books of the University. A notice or other document so sent by mail shall be deemed to be received on the date which is two business days after the date when the same was deposited in a post office or public mail box as aforesaid or, if sent electronically, shall be deemed to be received on the day it was transmitted or, if delivered, shall be deemed to be received on the date of delivery. For the purpose of sending any notice, the address of any Governor will be the most recent address recorded on the books of the University.

6.4     Subject to sections 6.5 and 6.6 hereof, meetings of the Board will be Public in accordance with section 13 of the Act unless the meeting, or a part thereof, may be held in the absence of the public as specified in the Act and the related procedures, as approved by the Board from time to time.

6.5     The Board will conduct three types of meetings as part of the regular administration of the Board and its committees:

- Public;
- Non-Public; and
- *In-Camera*.

6.6     Attendance at Public meetings will be subject to space limitations and the provisions of the related procedures.  No person shall be removed from a meeting except for improper conduct as determined by the Chair.

6.7     **Errors in Notice**

No error or omission in the giving of such notice for a meeting of the Board shall invalidate such meeting or invalidate or make void any proceeding taken or had at such meeting, and any Governor may, at any time, waive notice of such meeting and may ratify and approve of any or all proceedings taken or had thereat.

6.8     **Voting**

Except as otherwise provided in the By-laws, questions arising at any meeting of the Board shall be determined by a majority of votes, including the vote of the Chair and, in the case of equality of votes, the question shall be deemed defeated. All votes at any such meeting shall be taken by ballot if so demanded by any Governor present, but if no demand is made, the vote shall be taken in the usual way by assent or dissent. A declaration by the Chair that a resolution has been carried or defeated and an entry to that effect in the minutes shall be admissible in evidence as prima facie proof of the fact without proof of the number or proportion of the votes recorded in favour of or against such resolution.

6.9     Any Governor may abstain from casting a vote and may request that the abstention be recorded in the minutes of the meeting.

6.10    **Reconsideration**

After any question has been decided, any Governor who voted thereon in the majority may move for a reconsideration of the question, but no discussion on the main question shall be allowed unless the matter is reconsidered and there shall be no reconsideration unless:

a.   notice of the motion to reconsider is given either at a meeting of the Board or in the same manner as notice of a regular meeting of the Board is given, and such notice to reconsider is in any event given at least two days before the meeting at which the motion to reconsider is to be presented; and

b.   two-thirds of the Governors attending such a meeting vote in favour of such reconsideration.

6.11    **Rules of Order**

Meetings of the Board and its committees will be conducted respectfully, efficiently and with a view to reaching consensus in accordance with the values of the University. In case of controversy, meetings of the Board and its Committees will be conducted in accordance with *Democratic Rules of Order* by Francis and Francis (9th edition), as amended or replaced,  or such other rules of order most recently adopted by the Board and its committees.

6.12    **Adjournments**

Any meeting of the Board may be adjourned to any time and from time to time and such business may be transacted at such adjourned meeting as might have been transacted at the original meeting from which such adjournment took place. No notice shall be required of any such adjournment.

6.13    Such adjournment may be made notwithstanding that no quorum is present.

6.14    **Quorum**

A quorum of the Board consists of a majority of the Governors and that majority must include at least half of the Governors who are not the Student and employee Governors who were elected to the Board pursuant to paragraph 5 of subsection 8(1) of the Act.

6.15    **Place of Meeting**

Unless otherwise directed by the Chair, all meetings of the Board shall be held on the campus of the University.

6.16    **Participation by Electronic Means**

If the University chooses to make available a telephone, electronic or other communication facility that permits all participants to communicate adequately with each other during a meeting of the Board, any person entitled to attend such meeting may participate in the meeting by means of such telephonic, electronic or other communication facility in the manner provided.  A person participating in a meeting by such means is deemed to be present at the meeting.  Notwithstanding any other provision of the By-laws, any Governor participating in a meeting of the Board pursuant to this Article who is entitled to vote at that meeting may vote by means of any telephonic, electronic or other communication facility that the University has made available for that purpose.  No Governor shall be represented by proxy.

6.17    **Written Resolutions**

A resolution signed (electronically or otherwise) by all Governors entitled to vote is as valid and effective as if passed at a meeting of the Governors duly called, constituted and held for the purpose.  Written resolutions may be signed in counterparts and such resolutions signed by one or more Governors entitled to vote and transmitted by facsimile, electronic mail, or other electronic means to the Secretary shall be deemed to be duly signed by such Governors.

6.18    **Books and Records**

The Secretary shall see that all necessary corporate books and records required by the By-laws or by any applicable statute or law are regularly and properly kept. A record of the proceedings of each meeting of the Board shall be kept in a book provided for that purpose and the minutes, or a précis thereof, of the previous meeting shall be submitted at the next meeting of the Board and, after adoption by the Board of the minutes, they shall be signed by the Chair and Secretary and such minutes shall be kept in the custody of the Secretary. Except where the Board exercises its powers by by-law or where it is otherwise herein provided, the action of the Board upon any matter

coming before it shall be evidenced by resolution and the entry thereof in the minutes of the Board shall be prima facie evidence of the action taken.

**ARTICLE 7 - COMMITTEES**

**General Provisions**

7.1     Subject to subsections 7.2 to 7.9 and 7.12 to 7.22, the number of committees of the Board and their names, size, composition, duties and responsibilities shall be as determined from time to time by resolution of the Board.

7.2     There shall be an Executive Committee as provided in Article 8 below.

7.3     The majority of the members of all committees must be Governors of the Board.

7.4     The Chair and President shall be members of all Board Committees, whether standing, special or ad hoc.

7.5     The voting members of all committees shall be appointed by the Board.

7.6     The President may appoint a University Officer as the presidential representative to committees of the Board, except for the Executive Committee and any special or sub-committee thereof, for the purpose of assisting in the discharge of the President's responsibilities with respect to such committees. Such a presidential representative shall be a non-voting member of such committees during the term of any such appointment.

7.7     Each committee of the Board shall have a chair appointed by the Board. If the committee chair is not present at a meeting, the committee shall select another member of the committee to act as chair for that meeting.

7.8     The agenda for each Board committee meeting will be prepared by the Secretary in consultation with the committee chair and the appropriate member(s) of the University's administration as designated by the President, and will be approved by the committee chair.

7.9     **Other Committees**

In addition to the Executive Committee, standing committees may be constituted by the Board as committees whose duties are normally continuous, and which may include in their membership one or more persons who are not Governors.

7.10     **Special and Ad Hoc Committees**

Other committees constituted by the Board or by the standing committees shall be special or ad hoc committees, being those committees appointed for specific duties of a non-recurrent nature, and which may include in their membership one or more persons who are not Governors, subject to the proviso that the chair of the committee must be a Governor.

7.11 Unless specifically provided by the resolution by which it is constituted, each special or ad hoc committee shall automatically be dissolved on the date of the receipt of its final report by the Board or by the standing committee, as the case may be. Such committees may, at the discretion of the Board or the standing committee, as the case may be, be re-appointed with the same or different membership.

**General Regulations**

7.12 All members of committees, other than ex-officio members, serve at the pleasure of the Board. Vacancies occurring in the membership of a Board committee shall be filled by the Board at the next meeting of the Board after such vacancies occur, or as soon thereafter as may be convenient but, notwithstanding such vacancies, the remaining members of the committee shall have authority to exercise the full powers of the committee, providing that a quorum remains in office.

7.13 Meetings shall be held at the call of the chair of the committee, and shall be held at such places, or by teleconference, and at such times as the chair of the committee may determine. On the requisition of any three members of a committee, a meeting of such committee shall be called by the secretary of such committee. Notice of the time and place of every meeting shall be given to each member of the committee at least forty-eight (48) hours before the meeting. The means of delivery shall be either by:

   a. telephone or facsimile;

   b. hand-delivered courier to the Governor's most recent address recorded in the books of the Board;

   c. prepaid post to the Governor's most recent address recorded in the books of the Board; or

   d. electronic mail.

   The notice need not specify the nature of the business to be transacted at such meeting. In exceptional circumstances, the committee chair may waive the time requirements for such notices.

7.14 A meeting may also be held at any time and at any place within the Province of Ontario without notice, if all the members of the committee consent thereto.

7.15 A resolution signed by all of the members of a committee shall have the same force and effect as if passed at a regularly constituted meeting.

7.16 Any omission in good faith to give notice to any Governor, or any inadvertent irregularity in connection with the giving of notice, shall not invalidate the proceedings of a meeting.

7.17 The chair of the committee shall preside at meetings. If the chair is absent, the members present shall appoint one of their number as acting chair to preside at the meeting.

7.18 Except where otherwise stated, quorum requires that half of the Committee members entitled to vote be present.

7.19    Each voting member of the committee present in person or by teleconference at a meeting shall be entitled to one vote.

7.20    All questions at a committee meeting shall be decided by a majority of the votes of the members present, including the vote of the chair. In the case of equality of votes, the motion will be declared defeated.

7.21    A record shall be kept of the proceedings of every meeting of each committee, and it is the responsibility of the chair of the committee to submit a report of such proceedings to the Board or the Executive Committee as soon as conveniently possible thereafter.

7.22    The secretary of a committee shall issue, or cause to be issued, notices of all meetings of such committee, when directed to do so.


### ARTICLE 8 - EXECUTIVE COMMITTEE

8.1    The Board shall by resolution establish the size, composition, duties and responsibilities of the Executive Committee.

8.2    Unless changed by resolution of the Board, the Executive Committee shall be composed of the Chair and Vice-Chair(s) of the Board, the President and a maximum of four other Governors who shall be appointed by the Board to serve on the Executive Committee.

8.3    The Executive Committee shall have the following duties and responsibilities:

   a.    to exercise on behalf of the Board, between regular meetings of the Board, in circumstances where a matter cannot be delayed until the next regular meeting, and where a special meeting of the Board cannot be called, all the powers of the Board. The power of the Executive Committee to act for the Board is subject to prior delegation of powers from the Board to any other committee of the Board and to any specific directions given by the Board to the Executive Committee from time to time;

   b.    to make recommendations to the Board on the results of any search undertaken for the appointment of the President whether that search is undertaken by the Executive Committee or by another committee chosen by the Board;

   c.    to act as a committee to review, from time to time, the functioning of the governance system of the University;

   d.    to exercise such of the powers of the Board as the Board may by resolution provide;

   e.    to review and approve annually, on behalf of the Board, the performance of the President, to report to the Board annually with respect to such performance and to approve the compensation of the President and any changes thereto;

   f.    to approve, on behalf of the Board, recommendations from the President concerning the compensation of University Officers; and

   g.    to approve the compensation of other individuals in positions which the Board may, by resolution on recommendation of the President, designate from time to time.

In matters relating to the appointment of the President, the incumbent President shall not participate as a member of the Executive Committee or any other such search committee.

**ARTICLE 9 - EXECUTION OF DOCUMENTS**

9.1   **Execution of Documents**

Any two individuals holding the position of the Chair, Vice-Chair, President or Secretary or any person or persons from time to time designated by the Board, may execute any documents on behalf of and in the name of the University, may transfer any and all shares, bonds or other securities from time to time standing in the name of the University in its individual or any other capacity or as trustee or otherwise, and may accept, in the name and on behalf of the University, transfers of shares, bonds, or other securities from time to time transferred to the University, and the Secretary or President of the University may affix the corporate seal to any such transfers or acceptances of transfer, and may make, execute, and deliver under the corporate seal, any and all instruments in writing necessary or proper for such purposes, including the appointment of an attorney or attorneys to make or accept transfers of shares, bonds or other securities on the books of any company or corporation.

9.2   Notwithstanding any provisions to the contrary contained in the By-laws, the Board may, at any time, by resolution direct the manner in which, and the persons by whom, any particular instrument, contract, or obligation of the University may or shall be executed.

9.3    **Cheques, Etc.**

All cheques, bills of exchange or other orders for the payment of money, notes or other evidences of indebtedness issued in the name of the University shall be signed by such officer or officers, agent or agents of the University, and in such manner as shall, from time to time, be determined by resolution of the Board and any one of such officers or agents may alone endorse notes and cheques for deposit with the University's bankers for the credit of the University, or the same may be endorsed "for collection" or "for deposit" with the bankers of the University by using the University's rubber stamp for the purpose. Any one of such officers or agents so appointed may arrange, settle, balance and certify all books and accounts between the University and the University's bankers and may receive all paid cheques and vouchers and sign all the bank's forms or settlement of balances and release or verification slips.

**ARTICLE 10 - BORROWING**

10.1   The Board is hereby authorized by resolution, from time to time, to:

a. borrow money on the credit of the University in such amounts, on such terms and from such persons, firms, or corporations, including chartered banks, as may be determined by resolution of the Board;

b.  make, draw and endorse promissory notes or bills of exchange;

c.  hypothecate, pledge, charge or mortgage all or part of the property of the University to secure any money so borrowed or for the fulfilment of the obligations incurred by it under any promissory note or bill of exchange signed, made, drawn or endorsed by it; and

d.  issue bonds, debentures and obligations on such terms and conditions as the Board may, by resolution, decide and pledge or sell such bonds, debentures and obligations for such sums and at such prices as the Board may, by resolution, decide, and mortgage, charge, hypothecate or pledge all or any part of the property of the University to secure any such bonds, debentures and obligations.

10.2    The Board may, by resolution, delegate to officers of the Board all or any powers necessary for the purposes of borrowing and giving security by the University to such extent and in such manner as the Board may determine.

**ARTICLE 11 - AUDITORS**

The Board shall appoint one or more public accountants licensed under the Public Accountancy Act to hold office as the auditors of the University until a further appointment is made. The accounts, trust funds and transactions of the University shall be audited at least once per year.

**ARTICLE 12 - FINANCIAL MATTERS**

12.1    **Fiscal Year**

Unless otherwise ordered by the responsible government Ministry, the fiscal year of the University shall terminate on the 31st day of March in each year.

12.2    **Deposit of Securities for Safekeeping**

The securities of the University shall be deposited for safekeeping with one or more bankers or other financial institutions to be selected by the Board. Any and all securities so deposited may be withdrawn, from time to time, only upon the written order of the University signed by such officer or officers, agent or agents of the University and in such manner as shall, from time to time, be determined by resolution of the Board and such authority may be general or confined to specific instances. The institutions which may be so selected as custodians by the Board shall be fully protected in acting in accordance with the directions of the Board and shall not be liable for the due application of the securities so withdrawn from deposit or the proceeds thereof.

**ARTICLE 13 – PROTECTION OF GOVERNORS**

13.1    **Indemnification**

Every Governor or former Governor, and every person who acts or has acted at the request of the University as a director or officer of a body corporate in which the University directly or indirectly has a controlling interest, and that person's heirs, legal personal representatives, and the estate and effects of each of them respectively, shall be indemnified and held harmless out of the funds of the University from and against:

a. all costs, charges and expenses whatsoever that such person sustains or incurs in or about any action, suit or proceeding which is brought, commenced or prosecuted against such person for or in respect of any act, deed, matter or thing whatsoever made, done or permitted by such person in or about the execution of the duties of that person's office or in respect of any such liability; and

b. all other costs, charges and expenses that such person sustains or incurs in or about or in relation to the affairs thereof; except such costs, charges or expenses as are occasioned by that person's own wilful neglect or default.

13.2 **Protection of Governors**

No Governor shall be liable for the acts, receipts, neglects or defaults of any other Governor, or officer or employee, or for any loss, damage or expense happening to the University, through the insufficiency or deficiency of title to any property acquired by the University or for or on behalf of the University, or for the insufficiency or deficiency of any security in or upon which any of the moneys of or belonging to the University shall be invested, or for any loss or damage arising from the bankruptcy, insolvency or tortious act of any person, firm or institution with whom any moneys, securities, or effects shall be lodged or deposited or for any other loss, damage or misfortune whatever which may happen in the execution of the duties of their respective offices or trusts, or in relation thereto, unless the same shall happen by or through their own wilful act or through their own wilful neglect or default.

13.3 **Insurance**

Subject to the Act and all other relevant legislation, the University may purchase and maintain insurance for Governors against any liability incurred by any Governor in the capacity as Governor, except where the liability relates to the person's failure to act honestly and in good faith with a view to the best interests of the University.

**ARTICLE 14 - REMUNERATION**

14.1 Governors shall serve without remuneration for acting as such but they shall be reimbursed for expenses incurred in connection with meetings of the Board or other business of the University.

14.2 Subject to compliance with Article 4, if any Governor shall be employed by or shall perform services for the University otherwise than as a Governor or shall be a member of a firm or a shareholder, director or officer of a company which is employed by or performs services for the University, the fact of the person being a Governor shall not disentitle such Governor or officer or such firm or company, as the case may be, from

receiving proper remuneration for such services.

**ARTICLE 15 – DISPUTE RESOLUTION**

If a dispute or controversy among Governors, committee members, or officers of the Board of the University arising out of or related to the Act or By-laws, or out of any aspect of the activities or affairs of the University is not resolved in private meetings between the parties, then such dispute or controversy shall be settled by a process of dispute resolution as follows to the exclusion of such persons instituting a law suit or legal action:

    (a) the dispute shall be settled by arbitration before a single arbitrator, in accordance with the *Arbitration Act, 1991 (Ontario),* as amended or replaced, or as otherwise agreed upon by the parties to the dispute. All proceedings relating to arbitration shall be kept confidential, and there shall be no disclosure of any kind. The decision of the arbitrator shall be final and binding and shall not be subject to appeal on a question of fact, law or mixed fact and law; and

    (b) all costs of the arbitrator shall be borne by such parties as may be determined by the arbitrator.

**ARTICLE 16 – BY-LAWS**

16.1    All By-Laws of the University enacted prior to the date hereof are hereby repealed.

16.2    Notice of any motion that a By-law is to be presented, enacted, amended or repealed shall be sent to each Governor and postmarked no later than seven (7) days before the meeting at which the Notice of Motion is to be presented. The actual motion may only be acted upon at the meeting following the meeting at which the Notice of Motion is presented or a future meeting of the Board. A motion to enact, amend or repeal any by-law of the University shall not carry unless it receives the affirmative vote of at least two-thirds of the Governors present at the said meeting.

**ARTICLE 17 – SEVERABILITY**

If any part of this By-law is held to be invalid or unenforceable, the remainder of this By-law will be interpreted as if such part had not been included

ENACTED by the Board of Governors on the 1 day of September, 2018.

President – Steven Murphy          University Secretary – Cheryl Foy

| Classification | BRD 1000.01 |
|---|---|
| Parent Policy | Board of Governors Recruitment, Appointment and Leadership Policy |
| Framework Category | Board |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary |
| Approval Date | January 17, 2019 |
| Review Date | January 2022 |
| Supersedes | Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Student Governors June 25, 2015 |

**BOARD OF GOVERNORS PROCEDURES FOR THE ELECTION OF ADMINISTRATIVE STAFF, STUDENT, AND TEACHING STAFF GOVERNORS**

**PURPOSE**

1.  The purpose of these procedures is to outline the general rules and guidelines that will govern the conduct of elections for Elected Governor positions on the UOIT Board of Governors.

**DEFINITIONS**

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

    **"Campaigning"** means any attempt to influence voters or solicit votes with respect to any candidate during the election process.

    **"Campaign Period"** means the designated timeframe during which candidates may campaign.

    **"Chief Electoral Officer (CEO)"** means the University Secretary or designate who is responsible for the conduct of the elections within the established policies and procedures, as amended.

    **"Elected Governors"** means the members of the Board who are elected from within their relevant constituencies within the University.   This includes Administrative Staff, Student and Teaching Staff Governors.

    **"Election Conduct Warning"** means a notice in writing made to a candidate of a violation of election procedures.

    **"Nomination Period"** means the designated timeframe during which candidates may submit nomination materials to be considered as a candidate in the election.

    **"Student Governor "** means a member of the Board who is elected by and from within the student population of the University.

    **"Voting Period"** means the designated timeframe during which online voting will occur.

**PROCEDURES**

3.  **General**

**3.1.** In accordance with the Board of Governors Recruitment, Appointment and Leadership Policy, the Governance, Nominations and Human Resources Committee (GNHR), or its successor Committee, will have overall responsibility and authority for elections to the Board of Governors.

**3.2.** The Chief Electoral Officer (CEO) shall have the following responsibilities in the conduct of the Board of Governors elections:

    **a)** Recommending the timelines for Board elections to GNHR;

    **b)** Updating of the Board of Governors elections website;

    **c)** Disseminating information about the elections to relevant constituency groups;

    **d)** Providing nomination forms and instructions on the conduct of the Board elections;

    **e)** Convening a mandatory information session for all student candidates prior to the start of the Campaign Period;

    **f)** Verifying the eligibility of all nominees for the Board elections;

    **g)** Establishing campaign expense guidelines as required;

    **h)** Interpreting the election procedures;

    **i)** Investigating and reporting to GNHR any irregularities and/or infractions of the election procedures and recommending sanctions;

    **j)** Verifying the results of online voting and reporting election results to GNHR and the Board of Governors for confirmation; and

    **k)** Recommending to GNHR updates and/or revisions to Board election policy and procedures.

**3.3.** Email communication regarding Board of Governors elections will be to official UOIT addresses only (@uoit.ca or @uoit.net).

## 4. Nomination

**4.1.** Individuals who wish to stand for election must fill out the required nomination forms and provide all other relevant information requested by the CEO. Nomination materials must be submitted according to the specified process and deadlines. Incomplete nomination materials or nomination materials submitted after the deadline will not be accepted.

**4.2.** Nominations forms will include all of the following declaration statements:

    a. "I am willing to be nominated to stand as a candidate for election to the Ontario Tech Board of Governors".

    b. "I am a Tenured, Tenure Track or Teaching Faculty member with a full-time, continuing appointment." OR: "I am a full-time, registered student in Good Standing and consent for the Office of the University Secretary and General Counsel to view my student record to confirm my eligibility." OR "I am a full-time or part-time continuing employee of the University from one of the relevant constituency groups".

c. "I have read and understood the Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors."

d. "If elected, I am willing to serve as a member of the Ontario Tech Board of Governors and commit to attending, and participating fully, in scheduled Board and committee meetings throughout the entire duration of my 3-year term (1 year for students) unless granted a leave of absence by the Board of Governors in accordance with the relevant Policies and Procedures."

e. "I will exercise my duties in the best interests of the University, consistent with its objects and mission, rather than in the interests of any other person, entity or constituency."

f. "I will meet the requirements of the Act, the By-laws and applicable policies, including, without limitation, the standard of conduct prescribed in section 9(3) of the Act."

~~4.1.~~

**Commented [BD1]:** updated to be consistent with language in Article 4.1 of By-law No. 1

**Commented [BD2]:** updated to be consistent with language in Article 4.1 of By-law No. 1

~~4.2.~~4.3. Candidate eligibility is determined in accordance with the Board of Governors Recruitment, Appointment and Leadership Policy, as amended.

~~4.3.~~4.4. Nominations require a minimum of five (5) signatures from nominators who are deemed eligible from within the relevant constituency group of the nominee. Nominees are not eligible to sign their own nomination forms.

~~4.4.~~4.5. The CEO is responsible for determining that all criteria for eligibility for both nominees and nominators has been met.

~~4.5.~~4.6. Nominees will receive notification of their eligibility status by the CEO. Only nominees who have received confirmation of eligibility will be allowed to stand for election and campaign.

~~4.6.~~4.7. Nominees for Student Governor are required to attend a candidates' information session at a time and place to be determined by the CEO.

~~4.7.~~4.8. When the Nomination Period has closed, if the number of candidates nominated is equal or less than the Board positions available in a particular constituency, the candidates shall be acclaimed.

~~4.8.~~4.9. A nominee may withdraw their nomination by submitting a signed statement to the CEO any time before the close of nominations and at any time thereafter up to two business days following the close of nominations.

5. **Campaigning**

5.1. If a candidate chooses to Campaign, he/she will only do so during the Campaign Period.

5.2. All candidates shall conduct themselves and their activities in a manner which is considered reasonable, respectful, ethical, and fair.

5.3. Candidates are responsible for ensuring that all aspects of their campaign are in compliance with UOIT policies and all applicable municipal, provincial and federal laws.

5.4. No candidate may campaign or allow campaigning on their behalf that is in violation of the election procedures.

a) Candidates are personally responsible and accountable for those individuals acting on their behalf.

**b)** Candidates who are aware of unauthorized campaigning on their behalf must report the issue to the CEO.

**5.5.** No candidate is allowed to interfere or condone interference with another candidate's campaign including but not limited to, communication of any misinformation about another candidate, misuse of social media, and/or the destruction, defacing, moving or removal of physical campaign materials.

**5.6.** Candidates are required to check their UOIT email at least once every 24 hours during the Campaign Period for information from the CEO relating to the election. Candidates will be deemed to be notified and responsible for all information 24 hours after it was sent.

**5.7.** Candidate names and personal statements will be posted to the Board of Governors election website at the beginning of the Campaign Period.

**5.8.** Candidates are not entitled to use in their campaign any service or resource that is accessible by virtue of their employment at the University and/or position within a campus group or organization. This includes but is not limited to office supplies, equipment, technology, support staff, and distribution lists.

**5.9.** All expenses incurred during the course of the election campaign are the responsibility of the candidate.

**5.10.** All campaign information must include:

**a)** Name of the candidate;

**b)** Position for which the candidate is campaigning;

**c)** The address of the official Board of Governors election website;

**d)** An accurate English translation of any information in other languages;

**e)** A reminder to vote during the Voting Period.

**5.11.** Campaign information may not include the UOIT logo.

**5.12.** Candidates must represent themselves accurately in all campaign information about their accomplishments, certifications, academic credentials, positions held and any other statements intended to influence voters.

**5.13.** Campaigning may not interfere in any way with the normal orderly function of the University. Campaigning is not allowed during classes even with the permission of the course instructor.

**5.14.** Campaigning may only be done on-campus and in an open, public space (e.g. hallways, atriums) and is prohibited in the following areas:

**a)** All University administrative, academic and service offices;

**b)** All instructional areas including classrooms, lecture theatres, seminar rooms, labs, meeting rooms and board rooms;

**c)** Libraries, prayer rooms, designated study areas, the Health Centre, the Flex Centre and change-rooms, bathrooms, cafeterias and food service outlets;

**d)** Student residences; and

**e)** Other locations as determined by the CEO.

**5.15.** Campaigning at University events is strictly prohibited.

**5.16.** Candidates are allowed the use of paper posters and handbills for campaign purposes. No other physical campaign materials are permitted.

**5.16.1.** Posters may be no larger than eleven inches by seventeen inches (11"x17") and handbills may be no larger than eight and a half inches by eleven inches (8.5" x 11"). Campaign materials do not need to be approved by the CEO in advance of distribution.

**5.16.2.** Candidates are limited to a maximum of twenty-five (25) posters on each of the North or Downtown locations. There is no limit to the number of handbills that may be distributed.

**5.16.3.** Posting of any kind on any glass surface, on bulletin boards that are designated for specific departments/purposes, in stairwells, in the bathrooms or outside of buildings is prohibited.

**5.16.4.** Posters can only be affixed to surfaces by using wall putty such as fun tack or sticky tack. Tape of any kind is prohibited.

**5.16.5.** All campaign materials must be removed and disposed of within 48 hours following the close of the Voting Period.

**5.17.** Candidates are allowed use of any freely accessed internet site or social media platform for campaigning purposes.

**5.17.1.** Candidates who use social media to campaign for elections must create a new account for the elections such that all candidates will start the campaign with zero followers. Only one new account on each chosen platform may be created by each candidate.

**5.17.2.** Candidate's personal social media accounts may not be used for election purposes.

**5.17.3.** Candidates are not allowed to utilize any official UOIT social media accounts.

**5.17.4.** Communication using social media or posted online must comply with the campaign information requirements outlined in these procedures.

**5.17.5.** All online content and social media use must be public. Candidates must share any social media account/group names, addresses or handles, and links to websites or internet pages with the CEO within 24 hours of being created. All candidates choosing to use social media must provide access (i.e. add, invite, friend, be followed by) to the administrative account provided by the CEO.

**5.17.6.** Where applicable to the platform all social media communication must include the hashtag provided by the CEO.

**5.17.7.** Candidates may not publish, broadcast, tweet, retweet, post, pin, "tag" or communicate any information related to opposing candidates.

**5.17.8.** All online posting and social media activity must cease at the beginning of the Voting Period and all online accounts must be deactivated within twenty-four (24) hours after the close of the Voting Period.

6. **Voting**

   **6.1.** Voting for Board of Governors elections will be conducted online.

   **6.2.** The Voting Period will be forty-eight (48) hours in duration.

   **6.3.** No minimum voter turnout is required to validate an election. Eligible voters are entitled to vote once for each position within their respective constituency.

   **6.4.** The CEO and administrative staff of the University Secretariat are ineligible to vote.

   **6.5.** In order to respect the integrity of the election process voters are entitled to cast their ballots in secret. Candidates or those acting on behalf of a candidate are prohibited from:

   a) Establishing polling stations;

   b) Providing a personal computer or any other personal electronic device for the purpose of voting;

   c) Assisting voters in casting of their vote;

   d) Observing voters as they vote;

   e) Interfering with the voting process;

   f) Casting a ballot other than one's own;

   g) Conducting exit polls.

   **6.6.** Notification of the Voting Period and voting process will be communicated by email to relevant constituencies and posted to the Board of Governors elections website.

7. **Election Results**

   **7.1.** Depending on the number of vacancies in each constituency group, the candidate(s) with the highest number of votes in the election will be deemed the successful candidate(s).

   **7.2.** In the event of a tie, the CEO will determine the successful candidate by writing each candidate's name on a separate piece of paper. The papers will be folded and put in a box. The box will be shaken and the CEO will withdraw one (1) of the folded pieces of paper. The candidate whose name is on the selected piece of paper is the winner. This process will be conducted in the presence of two independent witnesses.

   **7.3.** In the event that a successful candidate is disqualified as a result of misconduct in the election process the candidate with the next highest number of votes will be deemed the successful candidate.

   **7.4.** Election results will be certified and communicated by the CEO. Election results may be withheld at the discretion of the CEO pending the outcome of any investigations into allegations of election misconduct.

8. **Violations of the Election Procedures**

**8.1.** Allegations of violation of the election procedures must be submitted to the CEO in writing. Complaints submitted anonymously will not be investigated.

**8.2.** Allegations of violations of the election procedures must be made within one (1) business day of the alleged infraction. Complaints may be made up to one (1) business day following the end of the Voting Period.

**8.3.** Alleged violations of election procedures will be investigated by the CEO:

**a)** The CEO shall inform the respective candidate of the allegations in writing, along with details of the violation that has been alleged to have occurred. The identity of complainants will be kept confidential.

**b)** Candidates will be given one (1) business day to comment upon the allegations being made.

9. **Penalties**

**9.1.** Where a violation of the elections procedures is deemed to have occurred, the CEO will implement penalties on a case by case basis, depending on the severity of the infraction.

**9.2.** If a candidate is found to have committed a violation of the election procedures, one or more of the following penalties may be imposed:

**a)** Election Conduct Warning;

**b)** Public correction and/or apology for false statements in campaign information;

**c)** Penalties under the Student Conduct Policy;

**d)** Disqualification of the candidate from the Board elections; or

**e)** Such other penalties as the CEO may consider to be reasonable and appropriate to the circumstances.

**9.3.** The following conduct will result in immediate disqualification of a candidate from the elections:

**a)** Failure to maintain the requirements for eligibility as outlined in the Board of Governors Recruitment, Appointment and Leadership Policy.

**b)** Violation of any procedure related to the online voting process.

**c)** Violation of an Election Conduct Warning from the CEO.

**d)** Any subsequent violation under these procedures whether or not an Election Conduct Warning has been issued in respect of such subsequent violation.

**e)** Failure to report to the CEO a violation of the election procedures by individuals acting on their behalf where the candidate ought reasonably to have known the conduct occurred.

**f)** Failure to cooperate with the CEO in the investigation of an allegation of election misconduct.

**g)** Any misrepresentation or misinformation communicated regarding an opposing candidate.

**h)** Any other violation found by the CEO to be a serious violation of these procedures or electoral guidelines.

**10. Appeals**

**10.1.** Appeals related to the decision of the CEO may be made in writing to the Chair of GNHR.

**10.2.** Appeals must be made within one (1) business day of the receipt of the CEO decision and must contain:

**a)** The specific decision being appealed;

**b)** Written documentation of the reason(s) for the appeal; and

**c)** A summary of the evidence in support of grounds for appeal.

**10.3.** If an appeal is submitted while the election is still underway, GNHR will render a decision on the appeal within 24 hours, or as soon as practicable.

**10.4.** If a candidate is appealing disqualification from the election, the candidate will be allowed to continue their campaign until the outcome of the appeal is determined.

**10.5.** Decisions of GNHR are binding.

**11. Election Recall**

**11.1.** Where the CEO has determined that significant irregularities or violations of election procedures have occurred, a recommendation may be made to GNHR for the election results to be overturned and a new election held.

**RELEVANT LEGISLATION**

**12.** University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O

By-Laws of the University of Ontario Institute of Technology

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

**13.** Board of Governors Recruitment, Appointment and Leadership Policy

| Classification | ADM 1319 |
|---|---|
| Framework Category | Administrative |
| Approving Authority | Senior Leadership Team |
| Policy Owner | Vice-President responsible for Human Resources |
| Approval Date | November 20, 2017 |
| Review Date | November 2020 |
| Supersedes | Academic Staff Employment Policies |

## Exempt Academic Staff Employment Policy

### PURPOSE

**1.** The purpose of this Policy is to establish the principles that support the employment of Exempt Academic Staff within the institution.

### DEFINITIONS

**2.** For the purposes of this Policy the following definitions apply:

**"Exempt Academic Staff"** means any of the following positions:

- Associate Dean;
- Teaching Staff Governor;
- Dean;
- Limited Term Academic Associate;

See associated procedures for complete definition.

### SCOPE AND AUTHORITY

**3.** This Policy applies to any Exempt Academic Staff employees.

**4.** The Vice-President responsible for Human Resources, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

### POLICY

The University of Ontario Institute of Technology (UOIT) recognizes that the expertise, effectiveness and commitment the Exempt Academic Staff contribute to the level of excellence in teaching, research, service and opportunities that students receive. The main intent of this document is to establish and explain various procedures that apply to at UOIT.

**5.** **General**

**5.1.** All Exempt Academic Staff appointments will be made in accordance with the applicable policies and procedures for that positon.

**5.2.** Appointments to Exempt Academic Staff positions will be term appointments, subject to review, renewal and term limitations, as specified in the applicable appointment policies and procedures.

**6.** **Approval of Appointments, Suspension and Removal**

**6.1.** Unless the Board otherwise delegates authority, the appointment, renewal, suspension and removal of a Exempt Academic Staff member will be made, in accordance with the applicable articles outlined in the relevant procedure.

**7.** **Appointment Procedures**

**7.1.** The University will establish detailed Procedures for all Exempt Academic Staff positions.

**MONITORING AND REVIEW**

**8.** This Policy will be reviewed as necessary and at least every three years. The Vice-President responsible for Human Resources, or successor thereof, is responsible to monitor and review this Policy.

**RELEVANT LEGISLATION**

**9.** University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O

By-Law Number 1 of the University of Ontario Institute of Technology, as amended

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

**10.** Deans, Associate Deans and Teaching Staff Governors Procedures

Limited Term Academic Associates Procedures

| Classification | ADM 1319.01 |
|---|---|
| Parent Policy | Exempt Academic Staff Policy |
| Framework Category | Administrative |
| Approving Authority | Vice-President responsible for Human Resources |
| Policy Owner | Vice-President responsible for Human Resources |
| Approval Date | November 20, 2017 |
| Review Date | November 2020 |
| Supersedes | Academic Staff Employment Policies S. 1, 4, 5 |

**DEANS, ASSOCIATE DEANS AND TEACHING STAFF GOVERNORS PROCEDURES**

**PURPOSE**

1.    The University of Ontario Institute of Technology (UOIT) recognizes that the expertise, effectiveness and commitment the Deans, Associate Deans and Teaching Staff Governors contribute to the level of excellence in teaching, research, service and opportunities that students receive. The main intent of this document is to establish and explain various procedures that apply to Deans, Associate Deans and Teaching Staff Governors at UOIT.

**DEFINITIONS**

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

**"Associate Dean"** means a person who holds an Associate Dean appointment/position. The Associate Dean, as part of the management team of the academic unit, is involved in contributing in a confidential capacity to decisions. An Associate Dean may be appointed to serve as Acting Dean of the unit in the Dean's absence.

**"Teaching Staff Governor"** means a member of the UOIT Board of Governors who holds a full-time continuing position, and is elected by and from within the teaching staff of the University.

**"Dean"** means a person who holds a Dean appointment/position. The Dean is responsible for the overall direction and development of the academic unit

**SCOPE AND AUTHORITY**

3.    These Procedures apply to Deans, Associate Deans and Teaching Staff Governors.

4.    The Vice-President responsible for Human Resources, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

**PROCEDURES**

5.    **Appointment to the position**

Refer to current policies or procedures in the Policy Library: Policy on Senior Academic Administrative Appointments (ADM 1313) (for Deans), Appointment of Associate Deans, Program Directors and Program Coordinators (ADM 1399.02) and Board of Governors Recruitment, Appointment and Leadership (BRD 1000).

**5.1.   Academic Freedom**

UOIT regards academic freedom as indispensable to the pursuit of knowledge. The freedom of faculty members to define research questions, to pursue the answers with rigor, and to disseminate knowledge according to their best judgment resides at the core of the University's mission. Accordingly, academic freedom is the right of every Dean, Associate Dean and Teaching Staff Governor. The University expects its Deans, Associate Deans and Teaching Staff Governors to exercise this freedom with integrity and with due regard for the rights and freedoms of others.

**5.2.   Ranks**

Employees undertaking an exempt academic staff position maintain the rank they last held prior to accepting the exempt academic staff position. In addition, the terms and conditions of their employment will remain the same.

**The Award of Tenure or Promotion to Professor**

**5.3.   Tenure**

A Dean, Associate Dean or Teaching Staff Governor who is being considered for tenure will follow an appointment process that parallels the Tenure process for Tenured and Tenure Track Faculty.

**5.4.   Promotion to Professor**

A Dean, Associate Dean or Teaching Staff Governor who is a candidate for promotion will follow the promotion to Professor process for Tenured and Tenure Track Faculty.

**Promotion to Associate Teaching Professor or Senior Teaching Professor**

**5.5.**   An Associate Dean or Teaching Staff Governor who is a candidate for promotion to Senior Lecturer will follow an appointment process that parallels the promotion process for Teaching Faculty.

**5.6.**   An Associate Dean or Teaching Staff Governor who is a candidate for promotion will follow the promotion to Associate Teaching Profe appointment process for Teaching Faculty.

**Academic Administrators, Designations and Termination**

**5.7.** **Academic Administrators**
Amended: Section 5.7 is superseded by the Policy on Senior Academic Administrative Appointments, February 2016

**5.8.** **Required Professional Designations**
Needs exist in some Faculties, for program accreditation or other reasons, for faculty to acquire and maintain in good standing certain professional credentials or designations. All such Deans, Associate Deans and Teaching Staff Governors must have, or will be required to obtain, these relevant credentials and to maintain them. Failure to do so could be grounds for dismissal or non-renewal. Required credentials or designations known at the time of appointment will be noted by the supervisor in the letter of appointment. Deans, Associate Deans and Teaching Staff Governors will be notified if other credential requirements arise during their employment and will be expected to obtain the new qualification.

**5.9.** **Removal of an Associate Dean**
An Associate Dean may be dismissed from the role for adequate cause. Adequate cause entails a fundamental breach of the contract of employment involving either serious wrongdoing or an accumulated record of unsatisfactory employment, including professional incompetence, persistent failure to carry out duties, refusal to carry out reasonable assignments, or gross misconduct, as documented in performance reviews or other written notification.

Gross misconduct does not include free inquiry, discussion, exercise of judgment or honest criticism of views whether inside or outside the University.

In dismissal for cause, the burden of proof shall rest with the University.

**5.10.** **Removal of a Teaching Staff Governor**
A Teaching Staff Governor may be removed only in accordance with Board of Governors policy and procedures.

**5.11.** **Removal of a Dean**
The removal of a Dean is governed by the Faculty Dean Appointment and Renewal Procedures. (ADM 1313.05)

**ORIENTATION AND PERFORMANCE REVIEW**

**6.** **Orientation**

**6.1.** The University recognizes that the orientation of and continuing assistance to Deans, Associate Deans and Teaching Staff Governors is important in establishing good employment relationships. An effective orientation process promotes morale, well-being and loyalty, encourages a well-informed faculty, fosters a sense of equity, and

serves as an essential human resource function. To that end, the University will provide a thorough and welcoming orientation process for new appointees and continuing assistance with the development of skills that facilitate learning.

**7. Performance Review**

**Preamble**

The University recognizes that a primary method of promoting excellence in the facilitation of learning, in research and creative professional practice, and in community involvement is through effective and constructive evaluation. In addition, the University believes that it is essential that exemplary performance be recognized and rewarded and, to that end, that it is important that a formal process be established to set and maintain standards of high quality.

**7.1. Annual Review**

Annual Review: May 1 – April 30

By April 30th, Deans, Associate Deans and Teaching Staff Governors will submit to their respective supervisors an annual activity report summarizing their achievements in the areas of Research (if applicable), Teaching and Service for the past review period.

Deans, Associate Deans and Teaching Staff Governors shall submit an annual activity report on a form supplied by their supervisor.

The report may include the following information:
a) Academic leadership;
b) Curriculum development;
c) Course development, including innovation in delivery models;
d) Teaching responsibilities including courses taught and supervised;
e) Results of student evaluations;
f) Books and papers published;
g) Conference papers, presentations, exhibitions, etc. given;
h) Research, completed or in progress;
i) Research grants and contracts awarded, including name of granting body, research grant title, amount awarded and the date of the award;
j) Awards and other honours received;
k) Faculty, Academic Council, and other University Service activities;
l) Contributions to their profession;
m) Contributions to their community and other forms of external Service;
n) A statement of their outside professional practice in the previous year;
o) An account of the academic activities pursued by the Dean, Associate Dean, or Teaching Staff Governor during the semester in which they were not Teaching; and
p) Any other information that the Dean, Associate Dean, or Teaching Staff Governor

deems relevant.

**7.2.** The Supervisor shall provide a copy of the Dean's, Associate Dean's or Teaching Staff Governor's written performance assessment (as described in Article 9.1) to the Provost no later than June 15th for inclusion in the Dean's, Associate Dean's, or Teaching Staff Governor's Official File.

**7.3.** The Dean, Associate Dean or Teaching Staff Governor has the right to add a letter of response or rebuttal to the Supervisor's assessment, and this letter shall be attached to the Supervisor's written statement.

**RIGHTS AND RESPONSIBILITIES**

**Dean's, Associate Dean's and BoG's will continue to participate in the University's programs made available to all full time continuing appointments as outlined on the UOIT HR website (i.e. Pension, Benefits, Dependent Tuition Assistant Program, Short Term Disability Leave, Pregnancy and Parental Leave and Professional Development, etc).**

**8.** **Vacation Entitlement**

**8.1.** Deans, Associate Deans and Teaching Staff Governors shall be entitled to 25 days of paid vacation annually (30 days after ten years). Vacation days will accrue at the rate of one-twelfth of the annual entitlement per month. While these vacation entitlements will be the normal rule, factors related to seniority and work experience may be taken into account in assigning vacation entitlement at the time of the initial contract or at any subsequent renewal. Normally, vacation days may not be carried from one year to another. However, in certain special situations, and with prior approval from their immediate supervisor, vacation days may be allowed to carry over. Deans, Associate Deans and Teaching Staff Governors have a high degree of independence in scheduling their own time and as such are deemed to have taken their vacation entitlement in a given year. Therefore, they are not entitled to any payout of unused vacation days upon resignation, retirement or other form of termination.

**9.** **Bereavement Leave**

**9.1.** A Dean, Associate Dean or Teaching Staff Governor shall be entitled to a leave of absence with pay in the event of the death of a member of their family.

**9.2.** Bereavement leave to arrange or attend the funeral of an immediate family member shall be granted by the Dean's, Associate Dean's or Teaching Staff Governor's immediate supervisor. The paid portion of such leaves will be based on the amount of time the Dean, Associate Dean or Teaching Staff Governor is scheduled to work that week and will not exceed five (5) Days for a Dean, Associate Dean or Teaching Staff Governor except in instances where extensive travel is

required outside of Canada., In which case the immediate supervisor at their discretion, may give the Dean, Associate Dean or Teaching Staff Governor up to two (2) additional days of paid leave for travel purposes.

**9.3.** "Immediate family" is defined as the Dean's, Associate Dean's or Teaching Staff Governor's spouse, common law spouse, same-sex partner, son, daughter, children of the Dean's, Associate Dean's or Teaching Staff Governor's spouse, children of a common law spouse, children of same-sex partner, step-children, ward, brother, sister, father, and mother.

**9.4.** Bereavement leave to arrange or attend the funeral of an extended family member shall be granted by the Dean's, Associate Dean's or Teaching Staff Governor's immediate supervisor. The paid portion of such leaves will be based on the amount of time the Dean, Associate Dean or Teaching Staff Governor is scheduled to work that week and will not exceed three (3) Days for that Dean, Associate Dean or Teaching Staff Governor, except in instances where extensive travel is required outside of Canada, in which case the immediate supervisor at their discretion may give the Dean, Associate Dean or Teaching Staff Governor up to two (2) additional days of paid leave for travel purposes.

**9.5.** "Extended family" is defined as the Dean's, Associate Dean's or Teaching Staff Governor's father-in-law, mother- in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, grandchild, grandmother and grandfather, grandparents of the employee's spouse, common-law spouse, or same-sex partner, step- mother and step-father.

**9.6.** If bereavement leave is required in the event of the death of a person significant to the Dean, Associate Dean or Teaching Staff Governor and not specifically named in the definitions listed above, or additional bereavement leave is required in circumstances covered by the definitions listed above, it may be granted up to a maximum of two (2) days, with the approval of the Dean's, Associate Dean's or Teaching Staff Governor's immediate supervisor.

**9.7.** It is recognized that the circumstances that call for leave in respect of bereavement are based on individual circumstances. On request, the Employer may, after considering the particular circumstances involved, grant leave with pay for a period greater than and/or in a manner different than that provided above.

**9.8.** Bereavement leave may be taken at the time of the bereavement and/or in a non-consecutive manner in the event of a later memorial service. A Dean, Associate Dean or Teaching Staff Governor is expected to give their immediate supervisor adequate notice in the event of a later memorial service

**9.9.** Additional time off may be approved by a Dean's, Associate Dean's or Teaching Staff Governor's  immediate supervisor and may include the use of personal days, or any

other paid time owing to the Dean, Associate Dean or Teaching Staff Governor, or, if none is available, unpaid time.

**9.10.** A Dean, Associate Dean or Teaching Staff Governor shall contact their immediate supervisor to request bereavement leave when it is required.

**10. Unpaid leave of absence**

**10.1.** A Dean, Associate Dean or Teaching Staff Governor may request approval for an unpaid leave of absence from their Supervisor, who will take into account various factors, including the merits of the case, whether the position can be adequately filled during the course of the leave, and its impact on the operations of the Faculty. Leaves in excess of four calendar months must also be approved by the Supervisor. Copies of written approvals from the Supervisor must be given to Human Resources.

**10.2.** Normally, unpaid leave may be granted for a maximum of 12 months.

**10.3.** Pension and benefits implications of such leaves should be reviewed with Human Resources before leave is requested. While on an unpaid leave of absence, Employer and employee pension contributions will cease and the Dean, Associate Dean, or Teaching Staff Governor will not be eligible for short-term disability benefits or long-term disability benefits.

**10.4.** While on an unpaid leave of absence a Dean, Associate Dean, Teaching Staff Governor has the option of paying both the employee and Employer premiums for major medical, dental, life insurance and accidental death and dismemberment insurance coverage.

**10.5.** In all cases, the University expects that the Dean, Associate Dean or Teaching Staff Governor will return to the University at the end of the leave.

**10.6.** Any other statutory leaves, as requested by the Dean, Associate Dean or Teaching Staff Governor, will be granted in accordance with Employment Standards Act (i.e. Family Caregiver Leave, Critically Ill Child Care Leave and Crime-related Child Death or Disappearance Leave).

**11. Political Leave**

**Preamble**

The University recognizes that, from time to time, employees, including Deans, Associate Deans and Teaching Staff Governors, may wish to participate in the public life of Canada, a province or a municipality by running for and holding public elective office. For purposes of this policy, a public elective office shall include Member of Parliament, Member of a Provincial

Parliament, municipal (including Regional) councillor, Mayor of a municipality, member of a Board of Education or other office filled by a vote conducted under the Ontario Municipal Elections Act. The University acknowledges the importance of such activities by adopting policies and procedures that are both supportive of such endeavours and as fair as possible to leave seekers, their colleagues and the University. This policy applies to faculty and staff with continuing appointments regardless of partisan affiliations or political beliefs.

**Candidates for the House of Commons or the Ontario Provincial Legislature**

11.1.   An official candidate for a seat in the House of Commons or the provincial legislature should normally be granted a leave without pay for the purposes of campaigning. The period of leave will normally begin after the issuance of writs and will normally cover the period between nomination day and polling day. In federal elections, a leave for campaigning would normally be no more than 90 days and no less than 28 Calendar Days. In provincial elections, nomination day may be from 23 to 60 days after writs are issued; as a result, a leave might be as long as 74 days or as short as 14 Calendar Days.

11.2.   Candidates elected to serve in the House of Commons or the Ontario Legislature will normally be granted leave without pay for the life of that Parliament, up to and including polling day for the subsequent Parliament. If the employee is re-elected to serve in successive Parliaments, she/he will be required to apply for a further leave, which will be granted, unless the total number of consecutive years of leave would exceed six.

11.3.   If an employee continues to serve in such an office after the expiry of a University-granted leave, the employee shall be deemed to have resigned her/his University post. Such a resignation does not preclude the possibility of reappointment by the University under conditions satisfactory to all concerned. It should be noted that an employee who is elected to the House of Commons or the Ontario Legislature and is appointed a Minister of the Crown may be asked by the Prime Minister or Premier to resign from the University immediately.

**Candidates for Municipal Office**

11.4.   Normally, candidates elected to municipal office will not require a leave of absence; the performance of duties can be considered a form of community service and can often be combined with regular University duties. However, any elected official whose civic duties infringe upon her/his University responsibilities should contact their Supervisor immediately and seek an appropriate adjustment of University responsibilities and compensation under the provisions of Leave of Absence Policies

11.5.   If, in the assessment of the Supervisor, the individual's performance is being adversely affected by civic duties, then she/he may request an adjustment of

University responsibilities and compensation. In both cases, the goal should be to preserve the integrity of University operations while facilitating, to the extent possible, the performance of community service.

**11.6.** While on an approved leave for these purposes, an employee shall retain all normal rights of those on leave, including pension and benefit entitlements. Such an employee shall be able to return to the University at the same rank or position and at the same salary plus any adjustments that may have been granted during the leave. Deans, Associate Deans or Teaching Staff Governors on conditional appointments may return at the expiration of the leave without pay to complete the conditional term held when elected.

**11.7.** Employees who intend to seek election to municipal office (including Boards of Education) normally do not require a leave for campaigning. Instead, some flexibility should be sought, where necessary and where possible, in the performance of regular University duties during the last three weeks before polling day. Possibilities include partial unpaid leave of absence, flexible arrangements or the use of vacation entitlement.

**11.8.** No candidate for, or holder of, a public elective office shall speak as a representative of UOIT.

## 12. Complaints and Appeals

**12.1.** Every Dean, Associate Dean, and Teaching Staff Governor has the right to make, without fear of reprisals, a complaint or appeal in accordance with University policies and procedures.

## 13. Employment of Members of the Same Family

**13.1.** The University does not discourage, and in certain cases actively encourages, the employment of more than one member of a family. A member of the immediate family of a Dean, Associate Dean or Teaching Staff Governor may apply for, and shall be considered in competition for, positions at UOIT. However, because of the potential for conflicts of interest, the appointment of an immediate relative of a current employee to the same department is discouraged and requires prior declaration to the appropriate authority, normally by the immediate Supervisor.

**13.2.** All opportunities and benefits normally accruing to employees will obtain when such an appointment is made. However, normally a family member should not exercise any form of supervision or direct influence over an immediate relative. For the purposes of this policy, immediate relative is defined as spouse, common-law spouse, same-sex partner, child, stepchild, sibling, parent, sister/brother-in-law, mother/father-in-law, grandparent or grandchild. This policy should also be applied in circumstances involving intimate personal relationships.

**13.3.** Full disclosure of all such familial or intimate relationships must be made to the University. Conflicts of interest related to the employment of relatives include:

a) Hiring decisions
b) Tenure decisions
c) Promotions
d) Renewal of contracts
e) Performance evaluation
f) Disciplinary procedures
g) Salary considerations
h) Confidentiality

**13.4.** In the event a conflict arises, no family member shall be the sole decision-making authority.

14. **Professional Service, Consulting and Related Work**

**Preamble**

Dean, Associate Dean, and Teaching Staff Governors are expected to devote all their professional endeavours to the purposes of the University. UOIT believes that a great university should reach out to the world. Accordingly, the University encourages its staff to seek and participate in sponsored research, to consult widely, and to engage in other activities that may benefit not only the participants but also the University itself, and the larger community. Hence, Dean, Associate Dean, and Teaching Staff Governors who engage in contract research administered by the University may benefit personally from their research by receiving in addition to their regular University salary up to one quarter of their University salary, as outlined in the University's Compensation Policy. Recognizing the benefits of such activities, the University is also committed to ensuring that they are conducted properly and consistent with the right of free inquiry and membership in the University community.

**Conflict of Interest and Conflict of Commitment**

**14.1.** Professional service, consulting, and related work are defined as activities involving the application of professional effort and expertise on behalf of individuals or agencies outside the University community. In pursuit of its own mission and consistent with the requirements of external agencies, the University has formulated the following policies to identify and address potential, actual and apparent conflicts of interest and commitment. The fundamental premise of this policy is that each member of the University community has an obligation to act in the best interest of the University, and must not let outside activities or outside financial interests interfere with that obligation.

**Conflict of Commitment**

**14.2.** A conflict of commitment occurs when the commitment to external activities of a

Dean, Associate Dean, and Teaching Staff Governors adversely affects her/his capacity to meet University responsibilities. Accordingly, the nature and extent of professional service, consulting and related work undertaken should complement the primary commitment of faculty members to the University.

**14.3.** The nature and extent of any individual's participation in professional service and related work, and the use of the University's facilities in connection with such work, are matters to be agreed upon beforehand with the University. Such agreements may relate to specific proposals or they may be more general, relating to types of professional service, consulting, and related work, and to limits on the time that may be devoted to such work. In general, a Dean, Associate Dean, or Teaching Staff Governor may not accept salaried employment at another institution while a full-time employee of the University, and may not spend more than one day in a seven-day week on consulting activities.

**14.4.** The University requires that its Deans, Associate Deans, and Teaching Staff Governors will meet their classes. It also expects that they will be available to students outside the classroom, will carry their share of committee responsibilities, and will remain productively involved in their research, creative professional practice and other scholarly pursuits. Deans, Associate Deans, and Teaching Staff Governors are expected to satisfy all of the requirements of their jobs, and should not permit outside activities to interfere with the performance of their University obligations. External activities that compromise or diminish an individual's capacity to meet these obligations represent a conflict of commitment

**14.5.** Professional service, consulting, and related work of limited scope may be undertaken without the prior agreement of the University. However, the details of all such professional service, consulting, and related work, and the time committed to it, must be reported to the University on a regular and timely basis. This report shall include details about the specific nature of the work and a summary of the time devoted to it.

**Conflict of Interest**

**14.6.** A conflict of interest exists when an individual, including Dean, Associate Dean, or Teaching Staff Governor, has an economic interest that affects or provides an incentive to affect the individual's conduct of her/his University activities. Conflicts of interest can arise naturally from an individual's engagement with the world outside the University, and the mere existence of a conflict of interest does not necessarily imply wrongdoing on anyone's part.

**14.7.** Conflicts of interest may also exist with respect to University financial decisions in which the individual is involved, such as investments, loans, purchases or sales of goods or services, and financial accounting decisions, and with respect to non-financial matters, including in particular the conduct of research and the treatment

of students and colleagues. Conflicts may also exist with respect to matters with both financial and non-financial implications, such as decisions about the use of University equipment and facilities and the negotiation of research agreements and license agreements.

**14.8.** For the purposes of this procedure, an individual's economic interests include the use of University facilities,   an interest in obtaining, maintaining or increasing the value of relationships, such as employment, independent contractor or consulting relationships; management positions, board memberships and  other fiduciary relationships with for-profit organizations; and any other activity from which the individual receives or expects to receive remuneration. They also include such interest on the part of the individual's spouse and her/his financially dependent children. When conflicts of interest arise, they must be recognized, disclosed to the appropriate Supervisor, and either eliminated or properly managed.

**15.** **Conflict of Interest in Research**
**Refer to current policies or procedures in the Policy Library: Conflict of Interest in Research (LCG1122).**

**MONITORING AND REVIEW**

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

**RELEVANT LEGISLATION**

**17.** Employment Standards Act, 2000, SO 2000, c 41

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

**18.** Exempt Academic Staff Employment Policy (TBA)

Conflict of Interest in Research Policy (LCG 1122)

Policy on Senior Academic Administrative Appointments (ADM 1313)

Appointment of Associate Deans, Program Directors and Program Coordinators (ADM 1399.02)

Board of Governors Recruitment, Appointment and Leadership (BRD 1000)

**UOIT BY-LAW 1**

**BY-LAW NUMBER 1 OF THE UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**

***(being a by-law to regulate generally the affairs of the University)***

BE IT ENACTED AND IT IS HEREBY ENACTED as a by-law of the University as follows:

**DEFINITIONS**

In this By-law:

a. "Act" means the *University of Ontario Institute of Technology Act, 2002*.
b. "Administrative Staff" means full-time continuing and part-time continuing employees of the University who are not members of the Teaching Staff.
c. "Board" means the Board of Governors of the University.
d. "By-laws" means this by-law and any other by-laws of the University as they exist from time to time.
e. "Chair" means the person elected or appointed to the position of chair of the Board.
f. "Chancellor" means the person appointed by the Board, pursuant to s. 11 of the Act, to be the chancellor of the University.
g. "Governor" means a member of the Board.
h. "*In Camera*" means a meeting, or a portion of a meeting, that includes Governors and only those individuals invited by the Board to attend, at which no motions are made and no minutes are recorded.
i. "Non-Public" means a meeting that includes Governors and only those individuals invited by the Board to attend.

j.   "President" means the person appointed to be the president, chief executive officer and vice-chancellor of the University.

k.   "Public" means a meeting open to all individuals, both internal and external to the University.

l.   "Secretary" means the secretary of the Board.

m.   "Student" means a student who is registered throughout the academic year as a full-time student in accordance with the academic regulations of the University.

n.   "Teaching Staff" means professors, associate professors, assistant professors, lecturers, associates, instructors, tutors and all others engaged in the work of teaching or giving instruction or in research at the University.

o.   "University" means the University of Ontario Institute of Technology.

p.   "University Officer" means any duly appointed officer of the University in accordance with Article 5.1, including "designated executives" as defined in the *Broader Public Sector Executive Compensation Act, 2014*, as amended or replaced.

q.   "Vice-Chair" means the person elected or appointed to the position of vice-chair of the Board.

r.   "Vice-President" means a vice-president of the University.

In the event of a conflict between any provision of the Act and any provision of the By-laws, the provision of the Act prevails to the extent of the conflict.


**ARTICLE 1 - INTERPRETATION**

1.1   In all By-laws of the University, where the context so requires or permits, the singular shall include the plural and the plural shall include the singular, and the word "person" shall include firms and corporations.

1.2   In all By-laws and resolutions of the University, unless the context otherwise requires, words and expressions have the same meaning as defined in the Act.

1.3   References in all By-laws and resolutions of the Board to the Act shall, unless the context otherwise requires, mean and include that Act and any amendments thereto from time to time or any act that may hereafter be substituted therefor.

1.4   The marginal notes and headings in the body of this By-law do not form part hereof and are inserted for convenience of reference only.


**ARTICLE 2 - HEAD OFFICE AND SEAL**

2.1   **Head Office**

The head office of the University shall be in the City of Oshawa in the Regional Municipality of Durham in the Province of Ontario and at such place therein as the Board may from time to time determine.

2.2     **Seal**

The seal, an impression whereof is stamped in the margin hereof, shall be the corporate seal of the University. The Secretary shall be responsible for the custody of the seal and for maintaining a record of its use.

**ARTICLE 3 – BOARD COMPOSITION**

3.1     **All Governors**

In addition to other qualifications set forth in the Act or in the By-laws, all Governors will also meet the qualifications prescribed for directors of corporations without share capital under the *Corporations Act (Ontario)*, RSO 1990 (as amended or replaced) and other qualifications which may be prescribed by legislation for governors of a university in Ontario.

3.2     **Appointed Governors**

The Governors appointed pursuant to paragraphs 4 and 5 of subsection 8(1) of the Act shall be appointed in such manner as the Board will determine and shall retire in rotation so that normally one-third of such governors will retire and be appointed in each year. Normally, the term begins on the first day of September.

3.3     **Elected Governors**

In accordance with paragraph 5 of subsection 8(1) of the Act, four of the Governors shall be elected as follows:

a.   two shall be elected by and from the full-time Teaching Staff of the University;

b.   one shall be elected by and from the Administrative Staff of the University; and

c.   one shall be elected by and from the Students.

3.4     The Board shall establish eligibility requirements, rules, and regulations governing the election of the Teaching and Administrative Staff Governors through policy and procedures. ~~approve the rules and regulations governing the election of the Teaching and Administrative Staff .~~ Teaching and Administrative Staff Governors shall be persons who, at the time of their election and during their term on the Board, are employed by the University. Such Governors shall automatically cease to hold office if they cease to be employees of the University.

3.5     The Board shall establish eligibility requirements, rules, and regulations governing the election of the Student Governors through policy and procedures. ~~approve the rules and regulations governing the election of Student Governors.~~ Student Governors shall be persons who, at the time of their election and during their term on the Board, are registered and in good standing. Such Governors shall automatically cease to hold office if they cease to be in good standing.

3.6     **Membership Vacated**

The membership of a Governor is vacated when:

a. such Governor resigns or ceases to be eligible for appointment or election to the Board;

b. such Governor becomes incapable of acting as a Governor and the Board declares such membership vacant;

c. within any twelve month period, a Governor of the Board, other than an ex-officio Governor and a Governor who has been granted a leave of absence by the Board, is absent for four consecutive regular meetings of the Board, or attends less than 50 per cent of such regular meetings in any year from September 1 to August 31. In any such case, the Board may, by resolution, declare his or her membership vacant; or

d. the Board, in its sole and absolute discretion, rescinds a Governor's membership on the Board on the basis that the Governor has not met the standard of conduct set out herein or described in other applicable Board policies or agreements. In the event the Governor is serving as a Lieutenant Governor in Council (LGIC) appointee, the rescission will take effect on the date on which the LGIC approves the Board's request for rescission.

3.7 The Board's declaration that a Governor's membership on the Board is vacated shall be made by a resolution of the Board carried by at least two-thirds of the votes cast by the Governors at a meeting of the Board. Such declaration may not be made until after the delivery of written notice of the proposed declaration of the Board and the reasons therefor to the Governor affected at such electronic or most recent address appearing in the records of the Board.

The resolution declaring the vacancy on the Board shall be entered in the minutes of the Board and shall be conclusive evidence of the vacancy.

**ARTICLE 4 - STANDARD OF CONDUCT**

4.1 Governors are fiduciaries of the University and are expected:

a. to meet the requirements of the Act, the By-laws and applicable policies, including, without limitation, the standard of conduct prescribed in section 9(3) of the Act;

b. to exercise their duties in the best interests of the University, consistent with its objects and mission, rather than in the interests of any other person, entity or constituency;

c. to commit the time to prepare for and attend Board and Committee meetings throughout the duration of their term, as well as to attend university events and support other university endeavours;

ed. to respect their duty of confidentiality with respect to Board matters; and

de. to adhere to the Conflict of Interest requirements in this By-Law and in any applicable University policy, as approved by the Board from time to time.

4.2     **Conflict of Interest**

"Conflict of Interest" means a situation in which a person has a personal interest that conflicts, might conflict or may be perceived to conflict with the interests of the University.  Conflicts of interest may arise in relation to personal matters including:

a.   directorships or other employment;

b.   interests in business enterprises or professional practices;

c.   share ownership;

d.   beneficial interests in trusts;

e.   existing professional or personal associations with the University; Professional associations or relationships with other organizations;

f.   personal associations with other groups or organizations, or

g.   personal or family relationships.

4.3     Governors who believe that they may have a Conflict of Interest shall:

a.   declare the nature and extent of the interest as soon as possible and no later than the meeting at which the matter is to be considered, and, if requested by the Board;

b.   refrain from taking part in any discussion or vote related to the matter; and/or

c.   withdraw from the meeting when the matter is being discussed.

4.4     A Student Governor or a Governor whose partner or relative is a Student, may take part in discussions and vote on all matters relating generally to the operations of the University, except for those matters which deal with the circumstances of the particular Student as an isolated issue, separate and apart from consideration of the other Students of the University.

4.5     A Teaching or Administrative Staff Governor or a Governor whose partner or relative is an employee of the University, may take part in discussions and vote on all matters relating generally to the operations of the University including, without limitation, issues concerning general conditions of employment for employees of the University, unless the discussion and voting deal with the circumstances of the particular employee as an isolated issue, separate and apart from consideration of the other employees of the University.

4.6     A Governor who has declared an interest in a contract or transaction, or a proposed contract or transaction, and who has not voted in respect thereof, shall not be accountable to the University, or its creditors, for any profit realized from the contract and the contract is not voidable by reason only of the Governor holding that office or of the fiduciary relationship established thereby.

**ARTICLE 5 - OFFICERS**

5.1 **University Officers**

The President is hereby designated a University Officer. Other University Officers may be designated by the Board or approved by the Board on the recommendation of the President.

5.2 **Election of Chair and Vice-Chair**

The Board shall elect annually a Chair and at least one, and normally no more than two, Vice-Chairs from among its Governors (the "external Governors") who were appointed pursuant to paragraphs 3 and 4 of subsection 8(1) of the Act.

5.3 **Appointment of the Secretary and Other Officers of the Board**

The Board shall appoint a Secretary and such other officers of the Board as the Board may determine from time to time by resolution.

5.4 **Duties of Chair and Vice-Chair**

The Chair shall preside at all meetings of the Board.

5.5 The Chair, together with the Secretary, shall sign all by-laws. During the absence or inability of the Chair, the duties and powers of the Chair may be exercised by the Vice-Chair, and if the Vice-Chair or such other external Governor as the Board may, from time to time, appoint for the purpose, exercises any such duty or power, the absence or inability of the Chair shall be presumed without reference thereto. The Chair shall be a member of all Board Committees, whether standing, special or ad hoc. In addition to other committee memberships, the Vice-Chair shall be a member of any presidential search committee.

5.6 **Duties of Secretary**

The Secretary shall: give notice of and attend all meetings of the Board and keep regular minutes of all the proceedings thereat; prepare and maintain a record of the current membership with their mailing addresses furnished by the Governors; use such means as he or she deems necessary to record the proceedings of the meetings of the Board; keep minutes of the proceedings of all committees of the Board; prepare all resolutions, reports or other papers which the Board may direct, and all copies which may be required of any such documents and papers; discharge such other duties as are prescribed by the By-laws of the University or as may be assigned by the Board or by the Chair thereof.

**ARTICLE 6 - MEETINGS**

6.1 **Meetings of the Board**

Board meetings may be formally called by the Chair, the Vice-Chair or the President. Board meetings may also be called by the Secretary on the direction in writing of eight

Governors. Notice of such meeting shall be given to the public by posting on one or more notice boards on campus and delivered, telephoned, or sent electronically to each Governor not less than seven days before the meeting is to take place in the case of regular meetings and not less than two days before the meeting is to take place in the case of special meetings. (In either case, the day of the meeting shall not be counted.) The written declaration of the Secretary or the Chair that notice has been given pursuant to the By-laws shall be sufficient and conclusive evidence of the giving of such notice. The Board may appoint a day or days in any month or months for regular meetings at an hour to be named and, in respect of such regular meetings, no notice need be sent. The Governors may consider or transact any business, either special or general, at any meeting of the Board provided that advance notice of any such special business is given in accordance with the policies and procedures approved by the Board.

No formal notice (except for the said notice to the public) of any such meeting shall be necessary if all of the Governors are present or if those absent have signified their consent to the meeting being held in their absence.

6.2    The agenda for each Board meeting will be prepared by the Secretary in consultation with the Chair and the President and will be approved by the Chair.  Each meeting of the Board will terminate after three hours from its commencement or on completion of the business before the Board at the meeting, whichever is earlier, unless the Board agrees to extend the time of termination beyond the three hour maximum by way of a motion passed by a simple majority of the Governors present.

6.3    Whenever, under the provisions of the By-laws, notice is required to be given to an individual, such notice may be given either personally or electronically (as provided above), or by depositing same in the post office or a public mail box, in a prepaid, sealed envelope addressed to the Governor at the most recent address recorded on the books of the University. A notice or other document so sent by mail shall be deemed to be received on the date which is two business days after the date when the same was deposited in a post office or public mail box as aforesaid or, if sent electronically, shall be deemed to be received on the day it was transmitted or, if delivered, shall be deemed to be received on the date of delivery. For the purpose of sending any notice, the address of any Governor will be the most recent address recorded on the books of the University.

6.4    Subject to sections 6.5 and 6.6 hereof, meetings of the Board will be Public in accordance with section 13 of the Act unless the meeting, or a part thereof, may be held in the absence of the public as specified in the Act and the related procedures, as approved by the Board from time to time.

6.5    The Board will conduct three types of meetings as part of the regular administration of the Board and its committees:

- Public;
- Non-Public; and
- *In-Camera*.

6.6     Attendance at Public meetings will be subject to space limitations and the provisions of the related procedures.  No person shall be removed from a meeting except for improper conduct as determined by the Chair.

6.7     **Errors in Notice**

No error or omission in the giving of such notice for a meeting of the Board shall invalidate such meeting or invalidate or make void any proceeding taken or had at such meeting, and any Governor may, at any time, waive notice of such meeting and may ratify and approve of any or all proceedings taken or had thereat.

6.8     **Voting**

Except as otherwise provided in the By-laws, questions arising at any meeting of the Board shall be determined by a majority of votes, including the vote of the Chair and, in the case of equality of votes, the question shall be deemed defeated. All votes at any such meeting shall be taken by ballot if so demanded by any Governor present, but if no demand is made, the vote shall be taken in the usual way by assent or dissent. A declaration by the Chair that a resolution has been carried or defeated and an entry to that effect in the minutes shall be admissible in evidence as prima facie proof of the fact without proof of the number or proportion of the votes recorded in favour of or against such resolution.

6.9     Any Governor may abstain from casting a vote and may request that the abstention be recorded in the minutes of the meeting.

6.10    **Reconsideration**

After any question has been decided, any Governor who voted thereon in the majority may move for a reconsideration of the question, but no discussion on the main question shall be allowed unless the matter is reconsidered and there shall be no reconsideration unless:

a.  notice of the motion to reconsider is given either at a meeting of the Board or in the same manner as notice of a regular meeting of the Board is given, and such notice to reconsider is in any event given at least two days before the meeting at which the motion to reconsider is to be presented; and

b.  two-thirds of the Governors attending such a meeting vote in favour of such reconsideration.

6.11    **Rules of Order**

Meetings of the Board and its committees will be conducted respectfully, efficiently and with a view to reaching consensus in accordance with the values of the University. In case of controversy, meetings of the Board and its Committees will be conducted in accordance with *Democratic Rules of Order* by Francis and Francis (9th edition), as amended or replaced,  or such other rules of order most recently adopted by the Board and its committees.

6.12    **Adjournments**

Any meeting of the Board may be adjourned to any time and from time to time and such business may be transacted at such adjourned meeting as might have been transacted at the original meeting from which such adjournment took place. No notice shall be required of any such adjournment.

6.13 Such adjournment may be made notwithstanding that no quorum is present.

6.14 **Quorum**

A quorum of the Board consists of a majority of the Governors and that majority must include at least half of the Governors who are not the Student and employee Governors who were elected to the Board pursuant to paragraph 5 of subsection 8(1) of the Act.

6.15 **Place of Meeting**

Unless otherwise directed by the Chair, all meetings of the Board shall be held on the campus of the University.

6.16 **Participation by Electronic Means**

If the University chooses to make available a telephone, electronic or other communication facility that permits all participants to communicate adequately with each other during a meeting of the Board, any person entitled to attend such meeting may participate in the meeting by means of such telephonic, electronic or other communication facility in the manner provided.  A person participating in a meeting by such means is deemed to be present at the meeting.  Notwithstanding any other provision of the By-laws, any Governor participating in a meeting of the Board pursuant to this Article who is entitled to vote at that meeting may vote by means of any telephonic, electronic or other communication facility that the University has made available for that purpose.  No Governor shall be represented by proxy.

6.17 **Written Resolutions**

A resolution signed (electronically or otherwise) by all Governors entitled to vote is as valid and effective as if passed at a meeting of the Governors duly called, constituted and held for the purpose.  Written resolutions may be signed in counterparts and such resolutions signed by one or more Governors entitled to vote and transmitted by facsimile, electronic mail, or other electronic means to the Secretary shall be deemed to be duly signed by such Governors.

6.18 **Books and Records**

The Secretary shall see that all necessary corporate books and records required by the By-laws or by any applicable statute or law are regularly and properly kept. A record of the proceedings of each meeting of the Board shall be kept in a book provided for that purpose and the minutes, or a précis thereof, of the previous meeting shall be submitted at the next meeting of the Board and, after adoption by the Board of the minutes, they shall be signed by the Chair and Secretary and such minutes shall be kept in the custody of the Secretary. Except where the Board exercises its powers by by-law or where it is otherwise herein provided, the action of the Board upon any matter

coming before it shall be evidenced by resolution and the entry thereof in the minutes of the Board shall be prima facie evidence of the action taken.

**ARTICLE 7 - COMMITTEES**

**General Provisions**

7.1 Subject to subsections 7.2 to 7.9 and 7.12 to 7.22, the number of committees of the Board and their names, size, composition, duties and responsibilities shall be as determined from time to time by resolution of the Board.

7.2 There shall be an Executive Committee as provided in Article 8 below.

7.3 The majority of the members of all committees must be Governors of the Board.

7.4 The Chair and President shall be members of all Board Committees, whether standing, special or ad hoc.

7.5 The voting members of all committees shall be appointed by the Board.

7.6 The President may appoint a University Officer as the presidential representative to committees of the Board, except for the Executive Committee and any special or sub-committee thereof, for the purpose of assisting in the discharge of the President's responsibilities with respect to such committees. Such a presidential representative shall be a non-voting member of such committees during the term of any such appointment.

7.7 Each committee of the Board shall have a chair appointed by the Board. If the committee chair is not present at a meeting, the committee shall select another member of the committee to act as chair for that meeting.

7.8 The agenda for each Board committee meeting will be prepared by the Secretary in consultation with the committee chair and the appropriate member(s) of the University's administration as designated by the President, and will be approved by the committee chair.

7.9 **Other Committees**

In addition to the Executive Committee, standing committees may be constituted by the Board as committees whose duties are normally continuous, and which may include in their membership one or more persons who are not Governors.

7.10 **Special and Ad Hoc Committees**

Other committees constituted by the Board or by the standing committees shall be special or ad hoc committees, being those committees appointed for specific duties of a non-recurrent nature, and which may include in their membership one or more persons who are not Governors, subject to the proviso that the chair of the committee must be a Governor.

7.11 Unless specifically provided by the resolution by which it is constituted, each special or ad hoc committee shall automatically be dissolved on the date of the receipt of its final report by the Board or by the standing committee, as the case may be. Such committees may, at the discretion of the Board or the standing committee, as the case may be, be re-appointed with the same or different membership.

**General Regulations**

7.12 All members of committees, other than ex-officio members, serve at the pleasure of the Board. Vacancies occurring in the membership of a Board committee shall be filled by the Board at the next meeting of the Board after such vacancies occur, or as soon thereafter as may be convenient but, notwithstanding such vacancies, the remaining members of the committee shall have authority to exercise the full powers of the committee, providing that a quorum remains in office.

7.13 Meetings shall be held at the call of the chair of the committee, and shall be held at such places, or by teleconference, and at such times as the chair of the committee may determine. On the requisition of any three members of a committee, a meeting of such committee shall be called by the secretary of such committee. Notice of the time and place of every meeting shall be given to each member of the committee at least forty-eight (48) hours before the meeting. The means of delivery shall be either by:

a. telephone or facsimile;

b. hand-delivered courier to the Governor's most recent address recorded in the books of the Board;

c. prepaid post to the Governor's most recent address recorded in the books of the Board; or

d. electronic mail.

The notice need not specify the nature of the business to be transacted at such meeting. In exceptional circumstances, the committee chair may waive the time requirements for such notices.

7.14 A meeting may also be held at any time and at any place within the Province of Ontario without notice, if all the members of the committee consent thereto.

7.15 A resolution signed by all of the members of a committee shall have the same force and effect as if passed at a regularly constituted meeting.

7.16 Any omission in good faith to give notice to any Governor, or any inadvertent irregularity in connection with the giving of notice, shall not invalidate the proceedings of a meeting.

7.17 The chair of the committee shall preside at meetings. If the chair is absent, the members present shall appoint one of their number as acting chair to preside at the meeting.

7.18 Except where otherwise stated, quorum requires that half of the Committee members entitled to vote be present.

7.19    Each voting member of the committee present in person or by teleconference at a meeting shall be entitled to one vote.

7.20    All questions at a committee meeting shall be decided by a majority of the votes of the members present, including the vote of the chair. In the case of equality of votes, the motion will be declared defeated.

7.21    A record shall be kept of the proceedings of every meeting of each committee, and it is the responsibility of the chair of the committee to submit a report of such proceedings to the Board or the Executive Committee as soon as conveniently possible thereafter.

7.22    The secretary of a committee shall issue, or cause to be issued, notices of all meetings of such committee, when directed to do so.


## ARTICLE 8 - EXECUTIVE COMMITTEE

8.1    The Board shall by resolution establish the size, composition, duties and responsibilities of the Executive Committee.

8.2    Unless changed by resolution of the Board, the Executive Committee shall be composed of the Chair and Vice-Chair(s) of the Board, the President and a maximum of four other Governors who shall be appointed by the Board to serve on the Executive Committee.

8.3    The Executive Committee shall have the following duties and responsibilities:

   a.   to exercise on behalf of the Board, between regular meetings of the Board, in circumstances where a matter cannot be delayed until the next regular meeting, and where a special meeting of the Board cannot be called, all the powers of the Board. The power of the Executive Committee to act for the Board is subject to prior delegation of powers from the Board to any other committee of the Board and to any specific directions given by the Board to the Executive Committee from time to time;

   b.   to make recommendations to the Board on the results of any search undertaken for the appointment of the President whether that search is undertaken by the Executive Committee or by another committee chosen by the Board;

   c.   to act as a committee to review, from time to time, the functioning of the governance system of the University;

   d.   to exercise such of the powers of the Board as the Board may by resolution provide;

   e.   to review and approve annually, on behalf of the Board, the performance of the President, to report to the Board annually with respect to such performance and to approve the compensation of the President and any changes thereto;

   f.   to approve, on behalf of the Board, recommendations from the President concerning the compensation of University Officers; and

   g.   to approve the compensation of other individuals in positions which the Board may, by resolution on recommendation of the President, designate from time to time.

In matters relating to the appointment of the President, the incumbent President shall not participate as a member of the Executive Committee or any other such search committee.

## ARTICLE 9 - EXECUTION OF DOCUMENTS

9.1 **Execution of Documents**

Any two individuals holding the position of the Chair, Vice-Chair, President or Secretary or any person or persons from time to time designated by the Board, may execute any documents on behalf of and in the name of the University, may transfer any and all shares, bonds or other securities from time to time standing in the name of the University in its individual or any other capacity or as trustee or otherwise, and may accept, in the name and on behalf of the University, transfers of shares, bonds, or other securities from time to time transferred to the University, and the Secretary or President of the University may affix the corporate seal to any such transfers or acceptances of transfer, and may make, execute, and deliver under the corporate seal, any and all instruments in writing necessary or proper for such purposes, including the appointment of an attorney or attorneys to make or accept transfers of shares, bonds or other securities on the books of any company or corporation.

9.2 Notwithstanding any provisions to the contrary contained in the By-laws, the Board may, at any time, by resolution direct the manner in which, and the persons by whom, any particular instrument, contract, or obligation of the University may or shall be executed.

9.3 **Cheques, Etc.**

All cheques, bills of exchange or other orders for the payment of money, notes or other evidences of indebtedness issued in the name of the University shall be signed by such officer or officers, agent or agents of the University, and in such manner as shall, from time to time, be determined by resolution of the Board and any one of such officers or agents may alone endorse notes and cheques for deposit with the University's bankers for the credit of the University, or the same may be endorsed "for collection" or "for deposit" with the bankers of the University by using the University's rubber stamp for the purpose. Any one of such officers or agents so appointed may arrange, settle, balance and certify all books and accounts between the University and the University's bankers and may receive all paid cheques and vouchers and sign all the bank's forms or settlement of balances and release or verification slips.

## ARTICLE 10 - BORROWING

10.1 The Board is hereby authorized by resolution, from time to time, to:

a. borrow money on the credit of the University in such amounts, on such terms and from such persons, firms, or corporations, including chartered banks, as may be determined by resolution of the Board;

b.  make, draw and endorse promissory notes or bills of exchange;

c.  hypothecate, pledge, charge or mortgage all or part of the property of the University to secure any money so borrowed or for the fulfilment of the obligations incurred by it under any promissory note or bill of exchange signed, made, drawn or endorsed by it; and

d.  issue bonds, debentures and obligations on such terms and conditions as the Board may, by resolution, decide and pledge or sell such bonds, debentures and obligations for such sums and at such prices as the Board may, by resolution, decide, and mortgage, charge, hypothecate or pledge all or any part of the property of the University to secure any such bonds, debentures and obligations.

10.2  The Board may, by resolution, delegate to officers of the Board all or any powers necessary for the purposes of borrowing and giving security by the University to such extent and in such manner as the Board may determine.

## ARTICLE 11 - AUDITORS

The Board shall appoint one or more public accountants licensed under the Public Accountancy Act to hold office as the auditors of the University until a further appointment is made. The accounts, trust funds and transactions of the University shall be audited at least once per year.

## ARTICLE 12 - FINANCIAL MATTERS

12.1  **Fiscal Year**

Unless otherwise ordered by the responsible government Ministry, the fiscal year of the University shall terminate on the 31st day of March in each year.

12.2  **Deposit of Securities for Safekeeping**

The securities of the University shall be deposited for safekeeping with one or more bankers or other financial institutions to be selected by the Board. Any and all securities so deposited may be withdrawn, from time to time, only upon the written order of the University signed by such officer or officers, agent or agents of the University and in such manner as shall, from time to time, be determined by resolution of the Board and such authority may be general or confined to specific instances. The institutions which may be so selected as custodians by the Board shall be fully protected in acting in accordance with the directions of the Board and shall not be liable for the due application of the securities so withdrawn from deposit or the proceeds thereof.

## ARTICLE 13 – PROTECTION OF GOVERNORS

13.1  **Indemnification**

Every Governor or former Governor, and every person who acts or has acted at the request of the University as a director or officer of a body corporate in which the University directly or indirectly has a controlling interest, and that person's heirs, legal personal representatives, and the estate and effects of each of them respectively, shall be indemnified and held harmless out of the funds of the University from and against:

a. all costs, charges and expenses whatsoever that such person sustains or incurs in or about any action, suit or proceeding which is brought, commenced or prosecuted against such person for or in respect of any act, deed, matter or thing whatsoever made, done or permitted by such person in or about the execution of the duties of that person's office or in respect of any such liability; and

b. all other costs, charges and expenses that such person sustains or incurs in or about or in relation to the affairs thereof; except such costs, charges or expenses as are occasioned by that person's own wilful neglect or default.

### 13.2    Protection of Governors

No Governor shall be liable for the acts, receipts, neglects or defaults of any other Governor, or officer or employee, or for any loss, damage or expense happening to the University, through the insufficiency or deficiency of title to any property acquired by the University or for or on behalf of the University, or for the insufficiency or deficiency of any security in or upon which any of the moneys of or belonging to the University shall be invested, or for any loss or damage arising from the bankruptcy, insolvency or tortious act of any person, firm or institution with whom any moneys, securities, or effects shall be lodged or deposited or for any other loss, damage or misfortune whatever which may happen in the execution of the duties of their respective offices or trusts, or in relation thereto, unless the same shall happen by or through their own wilful act or through their own wilful neglect or default.

### 13.3    Insurance

Subject to the Act and all other relevant legislation, the University may purchase and maintain insurance for Governors against any liability incurred by any Governor in the capacity as Governor, except where the liability relates to the person's failure to act honestly and in good faith with a view to the best interests of the University.

### ARTICLE 14 - REMUNERATION

14.1    Governors shall serve without remuneration for acting as such but they shall be reimbursed for expenses incurred in connection with meetings of the Board or other business of the University.

14.2    Subject to compliance with Article 4, if any Governor shall be employed by or shall perform services for the University otherwise than as a Governor or shall be a member of a firm or a shareholder, director or officer of a company which is employed by or performs services for the University, the fact of the person being a Governor shall not disentitle such Governor or officer or such firm or company, as the case may be, from

receiving proper remuneration for such services.

## ARTICLE 15 – DISPUTE RESOLUTION

If a dispute or controversy among Governors, committee members, or officers of the Board of the University arising out of or related to the Act or By-laws, or out of any aspect of the activities or affairs of the University is not resolved in private meetings between the parties, then such dispute or controversy shall be settled by a process of dispute resolution as follows to the exclusion of such persons instituting a law suit or legal action:

   (a) the dispute shall be settled by arbitration before a single arbitrator, in accordance with the *Arbitration Act, 1991 (Ontario),* as amended or replaced, or as otherwise agreed upon by the parties to the dispute.  All proceedings relating to arbitration shall be kept confidential, and there shall be no disclosure of any kind.  The decision of the arbitrator shall be final and binding and shall not be subject to appeal on a question of fact, law or mixed fact and law; and
   (b) all costs of the arbitrator shall be borne by such parties as may be determined by the arbitrator.

## ARTICLE 16 – BY-LAWS

16.1    All By-Laws of the University enacted prior to the date hereof are hereby repealed.

16.2    Notice of any motion that a By-law is to be presented, enacted, amended or repealed shall be sent to each Governor and postmarked no later than seven (7) days before the meeting at which the Notice of Motion is to be presented. The actual motion may only be acted upon at the meeting following the meeting at which the Notice of Motion is presented or a future meeting of the Board. A motion to enact, amend or repeal any by-law of the University shall not carry unless it receives the affirmative vote of at least two-thirds of the Governors present at the said meeting.

## ARTICLE 17 – SEVERABILITY

If any part of this By-law is held to be invalid or unenforceable, the remainder of this By-law will be interpreted as if such part had not been included

ENACTED by the Board of Governors on the 1 day of September, 2018.

President – Steven Murphy                    University Secretary – Cheryl Foy

# BOARD REPORT

| **SESSION:** | | **ACTION REQUESTED:** | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**  **Board of Governors**

**DATE:**  **June 24, 2021**

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

**SUBJECT:**  **Proposed Amendments to Policy Documents Arising from Board of Governors Election Teaching Staff Eligibility Arbitration Decision**

**COMMITTEE MANDATE:**
- Under its Terms of Reference, GNHR is responsible for the oversight of the process of electing new governors and recommending their appointment to the Board, in accordance with the university's Act and By-laws.
- GNHR is also responsible for reviewing the 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.
- **Request:** In accordance with the committee's mandate, we are seeking the Board's approval of the proposed amendments to the Board of Governors Recruitment, Appointment and Leadership Policy ("Recruitment Policy").
- At the GNHR meeting on May 27, the committee approved the amendments to the Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors ("Election Procedures").
- These amendments will clarify and improve the language in the policy documents and address changes arising from a recent arbitration decision regarding faculty member eligibility for board membership.

**BACKGROUND/CONTEXT & RATIONALE:**
- A detailed report setting out the background to the proposed changes to these policy instruments was presented to GNHR for consultation on January 28, 2021.

**Proposed Amendments to Recruitment Policy:**
- Removal of sections 9.6-9.9 from Recruitment Policy in response to Arbitrator's decision (see attached).

**Proposed Amendments to Election Procedures**
- The committee approved the updates to the Election Procedures to include the declaration statements that must be included in the nomination form. This will make it clear that the statements must be checked off in order for a nomination to be considered complete.
- Organizational Commitment is considered to be a core competency for potential new Board members. All external Board candidates are asked the following question:
  - Serving as a Governor will require a commitment of time to prepare for and attend Board and Committee meetings. As well, Governors are sometimes asked to contribute their time and energy to attend University events or support other University endeavours. How much time do you anticipate you will have to devote to the Board and what level of flexibility do you have relative to your other commitments?
- The committee also approved including a statement about the candidate's ability to commit to attending Board and Committee meetings throughout their term. There is already a similar statement on the declaration form and including this in the procedures will make it clearer.

**CONSULTATION:**
- **Board:** December 2, 2020
- **GNHR:** January 28, 2021
- **Online:** April 5 – 16, 2021
- **GNHR:** May 27, 2021 (policy for recommendation & procedures for approval)
- **Board:** June 24, 2021 (policy for approval)

**MOTION:**
*That pursuant to the recommendation of the Governance, Nominations, and Human Resources Committee, the Board of Governors hereby approves the proposed amendments to the Board of Governors Recruitment, Appointment and Leadership Policy, as presented.*

**NEXT STEPS:**
- Changes to the policy documents will be posted online following approval.

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**SUPPORTING REFERENCE MATERIALS:**
- blacklined Board of Governors Recruitment, Appointment and Leadership Policy

| Classification | BRD 1000 |
|---|---|
| Framework Category | Board |
| Approving Authority | Board of Governors |
| Policy Owner | University Secretary |
| Approval Date | February 28, 2019 |
| Review Date | March 2022 |
| Supersedes | Amendment, June 18, 2014 Original Approval, April 24, 2014 |

## BOARD OF GOVERNORS RECRUITMENT, APPOINTMENT AND LEADERSHIP POLICY

### PURPOSE

1.  The purpose of this policy is to define the method by which the Board of Governors will carry out the recruitment, appointment and re-appointment of members to the Board of Governors. Additionally, this policy outlines the process by which the Board of Governors will address the election, appointment and succession planning for leadership positions of the Board (Chair and Vice-Chair(s)) and its Committees.

### DEFINITIONS

2.  For the purposes of this policy the following definitions apply:

    **"Administrative Staff"** means full-time continuing and part-time continuing employees of the University who are not members of the Teaching Staff.

    **"Administrative Staff Governor"** means a member of the Board who is elected by and from within the Administrative Staff of the University.

    **"Board**" means the Board of Governors of the University.

    **"Committee**" means any standing committee or sub-committee of the Board, established in accordance with the ~~UOIT~~ Act and By-laws.

    **"Corporations Act (Ontario)"** means the Corporations Act, RSO 1990, c C.38, and any amendments thereto.

    **"Disqualifying Final Disciplinary Decision"** is a decision under the Student Conduct Policy, as amended, which has not been appealed or has been upheld on appeal and which, in the discretion of the Governance, Nominations and Human Resources Committee of the Board, indicates that the student candidate or Student Governor does not demonstrate the core competencies expected of all Governors.

    **"External Governor"** means an appointed member of the Board who is external and independent from the University.

    **"Elected Governors"** means the members of the Board who are elected from within their relevant constituencies at the University.   This includes Administrative Staff, Student and Teaching Staff Governors.

**"Clear Academic Standing"** has the meaning ascribed to it in the General Academic Regulations of ~~UOIT~~the university, as amended.

**"Good Standing"** means both that there is no record of a Disqualifying Final Disciplinary Decision  and the student is in Clear Academic Standing.

**"Research Leave"** has the meaning ascribed to it in the relevant Collective Agreement.

**"Student Governor"** means a member of the Board who is elected by and from within the student population of the University.

**"Teaching Staff"** means those positions engaged in the work of teaching or giving instruction or in research at the university as defined in Section 1 of the ~~UOIT~~ Act.

**"Teaching Staff Governor"** means a member of the Board who is elected by and from within the Teaching Staff of the University.

**"The By-laws"** means By-Law Nos. 1 and 2 of the University of Ontario Institute of Technology, and any amendments thereto.

**"~~UOIT~~ Act"** means the University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O, and any amendments thereto.

**SCOPE AND AUTHORITY**

**3.**      This policy applies to the recruitment, election, appointment and re-appointment of members to the Board.

**4.**      This policy and the related procedures are established in accordance with the ~~UOIT~~ Act and The By-laws as amended from time to time

**POLICY**

**5.**      Achieving excellence in governance and ensuring performance and accountability in the management of the affairs of the University is the primary mission of the Board. To meet this obligation, the Board has developed a policy that will:

- Establish membership and leadership for the Board that demonstrates a balance of skills, expertise and knowledge, while reflecting broad demographic and cultural diversity.

- Support transparent and effective processes for the recruitment, review, appointment and election of members to the Board and its leadership positions.

**6.**      **Board Composition: Skills and Competencies**

**6.1.**      The ~~UOIT~~ university's Board of Governors is a competency-based Board and its composition will reflect the knowledge, skills and abilities necessary for it to govern effectively and meet the strategic goals of the University.

**6.2.** Overall Board composition, and selection of individual members, will be based on the requisite skills and competencies set out in the Board Skills and Competencies Matrix (Matrix) as amended from time to time.

**6.3.** The Governance, Nomination and Human Resources Committee (GNHR), or its successor Committee, will be responsible for annually reviewing the Board composition and identifying any skill or competency gaps. This assessment will form the basis of recruitment of new members and recommendation for appointment to any vacancies on the Board.

7. **Recruitment and Appointment: General**

**7.1.** In addition to the requirements set out in the ~~UOIT~~ Act and The By-laws, all appointments to the Board must be made in accordance with the regulations set out in the Corporations Act (Ontario) for Corporations without Share Capital.

**7.2.** The process of recruitment, screening, selection, election, and recommendation for appointment to the Board will be overseen by GNHR, in accordance with the associated procedures.

8. **Recruitment and Appointment: External Governors**

**8.1.** Term lengths for External Governors are defined in sections 8(3) and 8(5) of the ~~UOIT~~ Act.

**8.2.** GNHR, or its successor Committee, will recruit, screen, and maintain a pool of eligible candidates for appointment to the Board, based on an assessment of the skills and competencies needed to fill any identified gaps.

**8.3.** GNHR, or its successor Committee, will actively seek to broaden the demographic and cultural diversity of the Board when recruiting eligible candidates to fill any identified gaps.

**8.4.** Candidates may be referred by any member of the current Board, University Senior Leadership or other member of the University community.

**8.5.** Eligible candidates will remain in the pool for three (3) years.

**8.6.** GNHR, or its successor Committee, will make recommendations to the Board from the pool of eligible candidates for the appointment of new members.

9. **Recruitment and Appointment: Elected Governors**

**9.1.** Term lengths for Elected Governors are defined in sections 8(3), 8(4) and 8(5) of the ~~UOIT~~ Act.

**9.2.** GNHR, or its successor Committee, will be responsible for overseeing the recruitment, nomination, and election procedures for Elected Governors.

**9.3.** Elected Governors will be recruited, nominated, and elected from within their respective constituency groups at the University.

**9.4.** The respective constituencies will be provided with information regarding the requisite skills and competencies for Board members in order to facilitate the nomination and

election of Elected Governors who can meet the needs and obligations of Board membership.

**9.5.** In accordance with Article 3.4 of By-Law No. 1, in order to be eligible to be nominated or to remain as an Administrative Staff Governor or Teaching Staff Governor, individuals must be employed by the University. Such Governors will automatically cease to hold office if they cease to be employees of the University.

**Teaching Staff Governor Eligibility**

**9.6.** Teaching Staff who:

   a) have been granted a six (6) month Research Leave; or

   b) submitted a request for a six (6) month Research Leave; or

   c) are planning to submit a request for a six (6) month Research Leave

that will commence at any time during the first year of their prospective first term on the Board are ineligible to be nominated as a candidate for the position of Teaching Staff Governor.

**9.7.** Teaching Staff who:

   a) have been granted a twelve (12) month Research Leave; or

   b) submitted a request for a twelve (12) month Research Leave; or

   c) are planning to submit a request for a twelve (12) month Research Leave

that will commence at any time during the first two (2) years of their prospective first term on the Board are ineligible to be nominated as a candidate for the position of Teaching Staff Governor.

**9.8.** In the event that a Teaching Staff Governor is granted a twelve (12) month Research Leave that will commence prior to the end of her/his term on the Board, the Teaching Staff Governor will cease to hold office as a Teaching Staff Governor effective as of the start date of the Research Leave.

**9.9.** In the event that a Teaching Staff Governor is granted a six (6) month Research Leave that will commence during the second or third year of her/his term on the Board, assuming the Teaching Staff Governor obtains the written agreement of the relevant Dean in accordance with the terms of the applicable Collective Agreement, the Teaching Staff Governor may continue to serve on the Board for the remainder of the term.

**9.10.9.6.** In order to be eligible to be nominated or to remain as a Student Governor, a student must be a full-time, registered undergraduate or graduate student, in Good Standing.

## 10. Election and Selection of Chair, Vice-Chairs and Committee Chairs

**10.1.** In accordance with Section 8(13) of the UOIT Act, the Chair and Vice-Chair(s) shall be elected on an annual basis.

**10.1.1.** There will be one (1) Chair who will normally be nominated and elected from the incumbent Chair or Vice-Chairs.

**10.1.2.** An incumbent Chair will have the opportunity to express interest in re-election to the Chair position, provided such person is within the normal term length for an External Governor.

**10.1.3.** There will be two (2) Vice-Chairs who will normally be nominated and elected from the incumbent Vice-Chair(s) or Committee Chairs.

**10.1.4.** The incumbent Vice-Chair(s) will have the opportunity to express interest in re-election to the Vice-Chair positions, provided such person is within the normal term length for External Governors.

**10.2.** Committee Chairs will normally be recruited from within the incumbent External Governors.

**10.2.1.** External Governors will have an opportunity, on an annual basis, to express interest in Committee Chair positions.

**10.2.2.** Committee Chairs be selected from members who have demonstrated a high degree of commitment to the University, the Board and its Committees and who meet the desired skill and competency profile for leadership of the respective Committee for which they are being considered.

**11. Review of Chair, Vice-Chairs and Committee Chairs**

**11.1.** The Board Chair, Vice-Chairs and Committee Chairs will be evaluated on an annual basis.

**11.2.** Annual evaluations will be used to support the ongoing improvement of Board processes as well as in the consideration of incumbent nominees for re-election to Board leadership positions.

**12. Vacancies**

**12.1.** Vacancies in Board membership that occur prior to the end of the appointment term of a Governor will be filled in accordance with Article 3.6 of By-law No. 1.

**12.2.** Vacancies in any of the Board Chair, Vice-Chair or Committee Chair positions that occur before the end of the appointment term will normally be filled on an acting basis until GNHR can recommend a new nominee for election or selection.

**12.2.1.** A vacancy in the Chair position will normally be filled by one of the Vice-Chairs.

**12.2.2.** A vacancy in one of the Vice-Chair positions will normally be filled by an incumbent Committee Chair. The selected individuals will maintain their Committee Chair role on a temporary basis until the end of the year.

**12.2.3.** A vacancy in a Committee Chair position will normally be filled by a Committee member.

**RELEVANT LEGISLATION**

13.     University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
        By-Laws of the University of Ontario Institute of Technology
        Corporations Act, RSO 1990, c C.38


**RELATED POLICIES, PROCEDURES & DOCUMENTS**

14.     Board of Governors and Committees Skills and Competency Matrix
        General Academic Regulations, University of Ontario Institute of Technology
        ~~UOIT~~ Student Conduct Policy
        Governance, Nominations and Human Resources Committee Terms of Reference
        Board Leadership Nominating Committee(s) Terms of Reference**
        Procedures for the Referral of Candidates to the Board of Governors**
        Procedures for the Appointment of External Governors**
        Procedures for the Election of Administrative Staff, Students and Teaching Staff Governors
        Procedures for the Election of Board Chair, Vice-Chairs and Appointment of Committee Chairs**
        Board Evaluation Policy**
        Board Chair Position Statement **
        Board Vice-Chair Position Statement**


*\*\*To be developed*

**DRAFT BOARD SCHEDULE 2021-2022**

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

**\*meetings will be cancelled subject to Board's approval of committee restructuring**

# BOARD REPORT

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**SESSION:**

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|---|---|
| **Public** | ☒ |
| **Non-Public** | ☐ |

**ACTION REQUESTED:**

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|---|---|
| **Decision** | ☒ |
| **Discussion/Direction** | ☐ |
| **Information** | ☐ |

**TO:** **Board of Governors**

**DATE:** **June 24, 2021**

**FROM:** **Dietmar Reiner, Board Chair**

**SUBJECT:** **Appointment of Board Secretary for 2021-22**

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**BOARD MANDATE:**
- To appoint the Board Secretary in accordance with Article 5.3 of By-law No. 1.

**BACKGROUND/CONTEXT & RATIONALE:**
- It is a best practice to annually confirm the appointment of the Secretary of the Board.

**MOTION FOR CONSIDERATION:**

*That the Board of Governors hereby reappoints Becky Dinwoodie as Secretary of the Board of Governors from July 1, 2021 until June 30, 2022.*

**BOARD OF GOVERNORS' 119th REGULAR MEETING**
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**Minutes of the Public Session of the Meeting of Thursday, April 22, 2021**
**1:00 p.m. to 2:50 p.m., Video Conference**

**GOVERNORS IN ATTENDANCE:**
Dietmar Reiner, Board Chair
Laura Elliott, Chair of Audit & Finance Committee
Stephanie Chow, Chair of Investment Committee
Maria Saros, Chair of Governance, Nominations & Human Resources Committee
Thorsten Koseck, Chair of Strategy & Planning Committee
Steven Murphy, President
Mitch Frazer, Chancellor
Azzam Abu-Rayash
Liqun Cao
Kevin Chan
Francis Garwe
Kathy Hao
Ferdinand Jones
Kori Kingsbury
Dale MacMillan
Mark Neville
Kim Slade
Roger Thompson
Jim Wilson
Lynne Zucker

**REGRETS:**
Lisa Edgar
Douglas Ellis
Trevin Stratton

**BOARD SECRETARY:**
Becky Dinwoodie, _Associate University Secretary & Judicial Officer_

**STAFF:**
Jamie Bruno, _Chief Work Transformation and Organization Culture Officer_
Stephanie Callahan, _Assistant to the Provost & VP Academic_
Les Jacobs, _VP, Research and Innovation_
Barb Hamilton, _Assistant to the University Secretary & General Counsel_
Krista Hester, _Assistant to the Provost & VP Academic_

Lori Livingston, *Provost & VP Academic*
Brad MacIsaac, *Vice-President, Administration*
Susan McGovern, *VP External Relations & Advancement*
Pamela Onsiong, *Director, Planning & Reporting, Finance*

**GUESTS:**
Shay Babb
Chelsea Bauer, *Faculty Association*
Mike Eklund, *President of Faculty Association*
Melissa Gerrits
Candi Gogar
Ramiro Liscano
Niall O'Halloran
Andrew Sunstrum

## 1. Call to Order

The Chair called the meeting to order at 1:11 p.m.

## 2. Agenda

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

## 3. Conflict of Interest Declaration

None.

## 4. Chair's Remarks

The Chair welcomed everyone and thanked everyone for taking time to participate in today's meeting. He shared that he hopes everyone is staying healthy amidst the third wave. Fatigue is setting in with the ongoing restrictions and the severity of the third wave; however, it is important to continue to observe the preventative protocols.

The Chair remarked that he continues to be proud of how the university has stepped up throughout the crisis and has continued to support our students and the broader community. These efforts demonstrate the resilience of our university community.

The Chair noted that the Board will be considering several important items during the meeting, including the budget. He encouraged the governors to engage and ask questions. He also emphasized the importance of governors reviewing the materials in advance, keeping in mind that they fulfill a role of oversight and should not cross into the realm of operations.

## 5.    President's Report

The President reported that the Board had a great professional development session with several of the university's researchers.  The researchers' presentations provided the Board with insight into some of the research happening at the university.  He commented that is helpful to observe how they are advancing the mission and vision of the institution.

The President discussed the planning for September.  They remain focused on the future of the university.  We have been dealing with COVID for over a year, including the transition to emergency online delivery.  Much has been learned during this time and there is a lot of innovation happening across the campus organically.  They are examining what has been working well and what has not worked so well.  Every university is thinking about what it will look like post-pandemic and many are planning to offer a blended approach. The President observed that it is often difficult to motivate people to think about the end state when people are still immersed in the pandemic and emergency learning.  The student experience has to be at the centre of where we go at the university.  Prioritizing the student as a human first will reap a lot of benefits.  Change must be driven by pedagogy, student learning, and outcomes as opposed to incorporating technology for the sake of it.  This approach is consistent with the university's "Tech With a Conscience" mantra.  It is important to focus on technology and how it can help improve society and the planet.

The President reported that he has been meeting with focus groups of students, staff and faculty to discuss the future of the institution.  He emphasized that the conversations about what blended learning will look like at the university will continue in the context of all postsecondary institutions considering the same thing.  A challenge encountered at other institutions is changing the organizational culture.  Other institutions have found the transition online more difficult and, per capita, less innovation is happening.  The President discussed examples of innovation at the university, including the eCampus Ontario grants for virtual learning strategies.  He highlighted that the university submitted the most applications of all Ontario institutions (colleges and universities) and obtained the largest amount of funding.  This is a huge accomplishment and it speaks volumes regarding the organic and innovative work happening at the institution.

The President shared that he anticipates that the next year will be a "wonky" year, as it will depend on what the public health guidelines allow.  They are working to make it as normal a year as possible in the context of change.  The President commended the Provost on emphasizing flexibility in the planning for the 2021-2022 academic year.

The Chair commented that he supports the focus on putting students first and continuing the discussions of what blended learning looks like.  Further, the preparations for a "wonky" year ahead are of paramount importance.

**5.1 Strategic Discussion: Strategic Role of Research on Campus**

L. Jacobs delivered a brief presentation on the success indicators for research partnerships and the emerging innovative research opportunities for partners. The Board had a robust strategic discussion regarding the strategic role of research on campus. The discussion included the following comments and questions:

- Impressive improvements over a short period of time.
- Any data on post-graduation student hiring coming out of these initiatives?
- Are there administration fees involved?
  - L. Jacobs discussed the success of the Mitacs program - it is an effective program for graduate students, particularly in relation to creating job opportunities; much of it is anecdotal evidence (e.g. ACE students and their work on Capstone projects).
  - L. Jacobs also discussed the related costs – there are overhead charges that are applied for industry partners – these are characterized by flexibile rates.
  - L. Jacobs noted that one of the advantages of the Mitacs programs is that it provides a means to attract work and employ talent locally – he provided the example of becoming involved in the advanced manufacturing consortium – one of the attractions of the initiative is that it is based in Ontario.
- Suggestion to provide students with a real world problem to solve from an industry partner – the governor was involved in a similar initiative at another institution and it led to job offers.
- Autonomous vehicles – application of 5G research in order to improve information communication.
- Are there open houses to show off the work being done at the university for industry partners?
  - L. Jacobs shared that one of the successful initiatives at the university is the Reverse Career Fair and that they do something similar with industry; it is important to get the right audience for the right people.
- Capacity of stationary electric vehicles to generate power.
- A. Abu-Rayash shared that he participated in the Mitacs program as a student, which accelerated his experience; he suggested that the Mitacs achievements be celebrated and success stories shared, which will help to continue to build the university's brand.
- Suggestion to host a "hackathon" to work on real world problems, which could then turn into funding proposals.
- Consider incorporating ESG into the value add proposition by looking for solutions to reaching ESG targets – could unlock opportunities and funding that were not available before.

      o   L. Jacobs added that much of the energy sector is thinking along ESG frameworks.

The Chair commented that the research revenue growth, as well as the scale and breadth of research being done, is very impressive.  Benefits will flow from this (e.g. attraction of faculty, students, staff, and industry).  He added that there is likely opportunity for the university to leverage its stakeholder network, similar to the approach being taken for advancement, Ontario Tech Talent, and Brilliant Energy, which include focused branding, outreach, marketing, and communication.  The President noted that the establishment of the Partnership Office has been helpful in connecting the right people.

## 6. Co-Populous Report

J. Wilson reported on the last Durham College (DC) Board meeting, which was held on April 14.  The DC Board approved several new programs:  Wireless Telecommunications - Internet of Things and Interactive Media Design – Web Development (Diploma).  He also shared that DC was named one of Canada's 2021 greenest employers for the 5th time, which links to the university's commitment to sustainability.  DC will also be launching two new degree programs in September 2021, Honours Bachelor of Construction Management  and Honours Bachelor of Artificial Intelligence.  J. Wilson also reported on joint initiatives of DC and the university:
- the 2020 campus food drive raised over $22,000 to help 384 students; and
- the vaccination clinic at the Campus Ice Centre.

## 7. Academic Council

F. Jones delivered the Academic Council report.  As one of the governance bodies, Academic Council (AC) continues to hold strategic discussions focused on blended learning.  In March, the strategic discussion focused on the key opportunities associated with blended learning and the April session focused on reviewing all of the feedback from the previous four sessions and the next steps.  Academic Council will have at least another two sessions focused on the next steps, with the next session taking place in May.  Overall, feedback on the sessions has been very positive.  An overview of the outcome of the sessions will be provided to the Board.

AC met once since the last Board meeting.  At that meeting, AC renewed the delegation of authority to its Steering Committee and received an update on the university's Integrated Plan.  The results of the Academic Council elections were presented for approval.  AC also approved an updated Undergraduate Scholarship Policy and received the Program Review 18-Month Follow-up Report for the Bachelor of Science in Chemistry.

AC was also consulted on the following:
- Undergraduate Academic Appeal Policy & Procedures
- Draft Faculty Council Vice-Chair Selection Procedures
- Updated Faculty Council Terms of Reference
- Updated Academic Council Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives

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

L. Elliott delivered the A&F report.  At the last A&F meeting, the committee engaged in a strategic discussion on alternate revenue sources, keeping in mind that any new revenue sources must align with the university's mission and the assocated costs of implementing the new initiative.  The committee members provided many suggestions during the discussion.  The Board may assist by helping make connections between industry and the university.  The budget was also presented to the committee for recommendation. There was a robust discussion of the budget, including questions about the capital reserves, the risks associated with presenting a balanced budget, the impact of frozen tuition, and what the return to campus will look like.  The committee also discussed the ACE project budget proposal and suggestions were made to enhance the material, which are reflected in today's meeting material.  The committee also recommended the Controlled Goods and Radiation Safety Policies for approval.

**Finance**
### 8.1.         2021-2022 Budget

B. MacIsaac and L. Livingston presented the budget for consideration.  They responded to questions and comments from the Board, which included:
- In every industry, we are seeing that what was envisioned one or two years ago will be completely different from what we will see going forward – understanding the value of the sticky campus as a strategic pillar, they appreciate the opportunity to rethink learning – it might be worthwhile examining the university's strategic priorities in light of the new circumstances.
- How do we now think about the brick and mortar business of learning in light of the new circumstances?
  - L. Livingston advised that a couple of years ago, the university developed a rolling integrated plan – the value of implementing a rolling plan came through wholly when COVID hit – the integrated plan identified goals and action plans that had to be rethought in light of the pandemic – discussions have begun on campus about how space can be repurposed (Space

Planning Paper).   A paper on technology reimagined has also been developed.
- o L. Livingston confirmed that they are engaging the entire university community in these conversations, as we understand that the future will look very different.

(T. Koseck left the meeting at 2:21 p.m.)

- Is there anything keeping you up at night in order to achieve a balanced budget?
  - o B. MacIsaac responded that a month ago, he would have said that since all contingency and reserves were removed, it would have been a concern – on March 19, the university received $4.8m in COVID relief funding, which has given us the ability to plan for COVID contingencies as we bring people back to campus, as well as the ability to set aside $1m to be invested in learning infrastructure.  The university will also be able to invest in more TAships and other supports.
  - o B. MacIsaac assured the Board that he feels very confident with the budget as presented.

*Upon a motion duly made by L. Elliott and seconded by M. Saros, the Board of Governors unanimously approved the following motion:*

*WHEREAS the budget has been prepared based on a forecast using the best information available at this time;*

*WHEREAS the COVID-19 pandemic necessitated the effective closure of most of the university's physical operations in 2020-2021 and we are working on numerous scenarios for 2021-2022; and*

*WHEREAS there is additional risk to the budget this year because of the economic uncertainty precipitated by the COVID-19 pandemic (i.e. international travel) and the expenses required to offer safe partial return to campus in compliance with safety protocols;*

*NOW THEREFORE, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby approves the 2021-2022 balanced budget of $191,903 million, as presented.*

### 8.2.      2021-2022 Tuition & Ancillary Fees

L. Elliott presented the tuition fees for approval.

*Upon a motion duly made by L. Elliott and seconded by R. Thompson, pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors unanimously approved the 2021-2022 tuition fees, as presented.*

L. Elliott presented the ancillary fees for approval.  There was a discussion regarding the university's ancillary fees as compared to those of other institutions.  B. MacIsaac clarified that when the university started, it was not receiving the same funding as other institutions. He also explained that the students are paying off two buildings (CRWC and a portion of the new building) and we are not at the size to be at an economy of scale yet.  He also clarified that the fees include the technology enhanced learning fee, as the university provides students with bundles of software, whereas students at other institutions have to purchase that on their own.

*Upon a motion duly made by L. Elliott and seconded by K. Kingsbury, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors unanimously approved the 2021-22 ancillary fees as presented.*

### 8.3.    ACE Enhancement Project

L. Elliott presented the proposal for approval.  The Board had a discussion about the remaining risks of completing the project on time and the potential additional costs. B. MacIsaac provided an overview of the risk mitigation measures being implemented to avoid further delays and increased costs.

*Upon a motion duly made by L. Elliott and seconded by R. Thompson, the Board of Governors unanimously approved the following motion:*

> *WHEREAS on November 29, 2018, the Board of Governors approved the award of the ACE Enhancement Project (AEP) contracts in an amount not to exceed $14.5M (including building modifications, $4.1M and integration, $10.4M) and is targeted for completion by March 31, 2020;*
>
> *WHEREAS the AEP is being funded through FedDev Ontario (up to $9.465M), provincial grant ($1.5M), Magna contribution ($1M) and the remainder from Ontario Tech unless other gifts are received;*
>
> *WHEREAS on November 28, 2019 the Board of Governors approved increasing the budget by $575,000 to $15.075M. The increase was based on initial quotes received where inflation, tariffs, and obsolete controls have increased costs;*
>
> *WHEREAS on April 14, 2021 administration presented to A&F a request for additional budget of $1.45M (compared to Nov 2019) to $$16.525M and a revised commissioning date of September 2021 due to COVID restrictions.  The additional project expenses include twelve months of further labour (including internal project management and US*

*company), a new contract for a local mechanical company and enhancements to existing infrastructure (i.e. leveling floor, maintenance of turntable equipment);*

*WHEREAS these additional expenses will be offset by $390K of earned revenues for a total <u>net</u> ask of $1.06M;*

*NOW THEREFORE, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby:*

- *approves increasing the total project budget from $15.075M to $16.525M; and*

- *authorizes and directs the President and/or the Vice-President, Administration, for and in the name of the university, to execute and deliver (under the corporate seal or otherwise) all such other documents and do all such other acts as may be necessary or desirable to give effect to this resolution.*

## 9. Governance Nominations & Human Resources Committee (GNHR) Report

M. Saros delivered the GNHR report. She reported that the committee engaged in a robust discussion about EDI and there is much enthusiasm about getting this right. The committee also acknowledged the importance of ongoing EDI education for governors. The committee members want to avoid making symbolic statements and ensure the statements are meaningful. They will also endeavour to update the Board's annual assessment to incorporate EDI questions to gain the perspectives of all Board members. She informed the Board that the annual assessments will be posted in OnBoard soon and she encouraged the governors to complete the assessments as the committee is aiming for a 100% participation rate.

## 10. Strategy & Planning Committee (S&P) Report

L. Zucker delivered the S&P report. She reported that at the last meeting, the committee had an engaged discussion about the sticky campus strategic priority. She commented that it was great to go into a deep dive and learn about how the pillars are starting to shape the university's strategy and activities. The committee also received an update on the university's strategic risks. The committee also had a discussion regarding updating the university's metrics and L. Livingston will be returning with a proposal. The committee was also updated on the university's research strategy, which included the Mitacs program, and feels that there is quite a bit of momentum. The Board Retreat planning also continued during the last meeting. Members are enjoying the continuous board education that has been happening throughout the year in addition to the retreat.

## 11. Consent Agenda:

*Upon a motion duly made by K. Kingsbury and seconded by D. MacMillan, the Consent Agenda was approved.*

**11.1. Controlled Goods Program Policy**
**11.2. Radiation Safety Policy**
**11.3. Minutes of Public Session of A&F Meeting of February 17, 2021**
**11.4. Accommodation Policy**
**11.5. Respectful Campus Policy**
**11.6. Committee Assignments**
**11.7. Minutes of Public Session of GNHR Meeting of January 28, 2021**
**11.8. Minutes of Public Session of S&P Meeting of January 14, 2021**
**11.9. Minutes of Public Session of Board Meeting of February 25, 2021**

**12. Information Items**
**A&F**
**12.1. Risk, Compliance & Policy Updates**
**12.2. New Building Project Update**
**12.3. AVIN Project Update**
**12.4. Strategic Risk Update**
**12.5. Research Strategy Update**
**GNHR**
**12.6. Annual Pension Plan Report**

**13. Other Business**

**14. Adjournment**

*Upon a motion duly made by D. MacMillan, the public session adjourned at 3:12 p.m.*

Becky Dinwoodie, Secretary

**BOARD OF GOVERNORS**
**Audit & Finance Committee**
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**Minutes of the Public Session of the Meeting of Wednesday, April 14, 2021**
**2:00 p.m. to 3:45 p.m., Videoconference**

**Members:**    Laura Elliott (Chair), Stephanie Chow, Mitch Frazer, Dale MacMillan, Steven Murphy, Dietmar Reiner, Roger Thompson

**Staff:**    Jamie Bruno, Becky Dinwoodie, Cheryl Foy, Barb Hamilton, Les Jacobs, Lori Livingston, Brad MacIsaac, Pamela Onsiong

**Guests:**    Shay Babb, Chelsea Bauer, Jackie Dupuis, Mike Eklund,

**1.    Call to Order**
The Chair called the meeting to order at 2:01 p.m.

**2.    Agenda**
_Upon a motion duly made by S. Murphy and seconded by R. Thompson, the Agenda was approved as presented._

**3.    Conflict of Interest Declaration**
None.

**4.    Chair's Remarks**
The Chair hoped everyone is keeping well in light of the third state of emergency and stay-at-home order.  She encouraged people to participate in permitted activities for their mental health.

The Chair thanked the staff and faculty for prioritizing providing a good student experience during this challenging year.

She noted that the agenda was structured to allow for robust strategic discussion and she encouraged everyone to actively participate in the meeting.

**5.    President's Remarks**
The President discussed the planning for the future.  How are we preparing our students for the future?  The focus is on valuing the whole student, including the need to consider the mental health of our students.  We must not only teach our students skills such as writing and communication, but empathy, working as part of a team, and getting things done when faced with a crisis.  Employers are looking for people who can work from anywhere.  Many institutions are trying to incorporate more technology in their offerings.

As a younger institution, we have a number of trailblazers who have done excellent work during the pandemic.  The President noted that we must examine our core business and how that is changing.

A member commented that in her organization, there is a desire to return to the office and employees have expressed a need to work together and a desire for mentorship.  A member asked whether we are anticipating something like a double cohort because of the pandemic.  The President advised that in focus groups with students, maybe only 1-2 out of 10 would prefer online learning only.  They are examining what we can offer when on campus.  There is a desire to return to a dynamic learning environment, with students wanting to make the most of their time on campus.  The President informed the committee that they have not observed a drop in enrolment in Ontario, rather they are seeing that high school students are being drawn to the older, more recognized universities.

There was a discussion regarding how we can assess whether we are meeting our value proposition statements.  The President remarked that it takes an adjustment to shift people's thinking from the current situation to what the future of education can look like post-COVID.  The following are some measures that can be used to measure the university's success in meeting the value proposition statements:  student satisfaction surveys and improved student retention.  The President emphasized that our students are part of a caring, compassionate community rather than a competitive one.

## 6.    Strategic Discussion:  Alternate Sources of Revenue

The Chair led the strategic discussion.  She asked the committee to keep in mind the mission of the university, as well as the associated costs of establishing potential alternate sources of revenue.  The discussion was guided by the following questions:
- In a world where the revenue generated by degree programs is not likely going to cover increasing costs, what are some alternative ideas institutions can turn to, to diversify their revenue streams?
- When thinking about alternatives, consider how they would relate to the university's mission and also consider start up costs might be.

Comments from the committee included:
- Oshawa is closely tied to GM – it is important to look at what is happening in the community that Ontario Tech could contribute to.
- There will be opportunities coming out of the pandemic – the university could provide niche skillset training that could be provided on a revenue or cost-recovery basis.
  - B. MacIsaac advised that over the last few years, Brilliant Catalyst has helped several local organizations; he referred to the example of the Teaching City in Oshawa, where over 1000 students have worked with the City of Oshawa to help address the City's issues.
  - L. Jacobs added that the wastewater project continues to expand across the province; he also noted that during a recent university town hall, there was a research initiative related to Long Term Care that was discussed – there is a demand for knowledge mobilization and evidence-based decision-making; this is a potential revenue source as there is government and private investment money available.

- A member suggested offering seniors enrichment programs.
  - L. Livingston advised that the university does have some offerings for seniors and noted that the university has an age-friendly designation status; she also advised that a "Seniors Ridgebacks" program is being developed; the university has close ties with the Oshawa seniors community centres and seniors have access to our library – we are becoming a community hub for community members and seniors.
- Another member commented that seniors have time and money to spend.
- It is important to keep focused on the university's mission and ensure new initiatives align with the university's mission, vision and values.
- Selling products and services would likely not generate a lot of revenue, but would promote a sticky campus and outreach.
- The growth of strategic partnerships has great untapped potential, but also carries a significant amount of risk (contractual).
- The university's speaker series has potential to highlight the work being done by faculty and could potentially generate revenue through Ontario Tech Talent (OTT).
- There is also the opportunity to tie strategic partnerships to engagement with alumni – alumni could mentor current students, which would also provide an opportunity to build strategic relationships with the employers of alumni, as well as improve student retention.
- What can Board members do to assist with current priorities?
  - Strategic partnerships help build connections that allow the university to continue to build our brand – it is not always about fundraising, but looking for opportunities that are mutually beneficial (e.g. if lease a new building, could share space with another company that provides professional training).
  - It is important for governors to think about making connections to potential new strategic partners.
- With respect to long-term care initiatives, it is important to act on this sooner rather than later given the Canadian crisis.
- Our competition only has to be the GTA universities – for customized corporate training, GTA corporations could use our facilities for training over the summer months, as well as use our residence space; this also ties into OTT.

## 7.    Finance

## 7.1    2021-2022 Budget

B. MacIsaac and L. Livingston presented the budget to the committee and responded to questions.  The provincial COVID relief funding of $4.8m was highlighted.

The committee members had the following questions and comments:
- In order to achieve a balanced budget, where is the additional $900,000 coming from?
  - B. MacIsaac advised that the additional $900,000 has been allocated out of existing reserves.
- There was concern expressed about the depleted capital reserves – how would we deal with unexpected repairs (e.g. roof)?

- o B. MacIsaac noted that there would be money available in the salary reserves and that a plan to build back the reserves will be presented at the June A&F meeting.
- What are the risks of presenting a balanced budget?
  - o B. MacIsaac noted that not contributing to the reserves poses a risk.
- What else would they have spent money on if they could have?
  - o B. MacIsaac responded that money would have been spent on recruitment and brand recognition.
- What is the risk associated with the limit on the number of students who can return to campus?
  - o B. MacIsaac advised that they are looking at equipping classrooms with streaming technology and because of the $4.8m in COVID relief, the university has greater flexibility.
- A member suggested giving thought to what is needed to achieve the forecasted revenues.
- What is the likelihood of the government unfreezing domestic tuition for 2021?
  - o B. MacIsaac confirmed that it is very unlikely.

*Upon a motion duly made by D. MacMillan and seconded by S. Chow, the Audit and Finance Committee unanimously approved the following motion:*

*WHEREAS the budget has been prepared based on a forecast using the best information available at this time;*

*WHEREAS the COVID-19 pandemic necessitated the effective closure of most of the university's physical operations in 2020-2021 and we are working on numerous scenarios for 2021-2022; and*

*WHEREAS there is additional risk to the budget this year because of the economic uncertainty precipitated by the COVID-19 pandemic (i.e. international travel) and the expenses required to offer safe partial return to campus in compliance with safety protocols;*

*NOW THEREFORE, pursuant to the recommendation of management, the Audit and Finance Committee hereby recommends that the Board of Governors approves the 2021-2022 budget, as presented.*

## 7.2   2021-2022 Tuition & Ancillary Fees

B. MacIsaac presented the proposed 2021-2022 tuition fees for recommendation.  He explained that the proposed fees are based on the assumption that a domestic tuition freeze will remain in effect.  He responded to questions from the committee.  B. MacIsaac provided the rationale for the reduction for the Masters of Science Computer Science program.

*Upon a motion duly made by D. MacMillan and seconded by S. Chow, the Audit & Finance Committee unanimously recommended the 2021-2022 tuition fees, as presented, for approval by the Board of Governors.*

B. MacIsaac presented the proposed 2021-2022 ancillary fees for recommendation. He explained the proposal for a new fee for student success support, which will allow for the hiring of new academic advising positions. He responded to questions from the committee. There was a discussion regarding whether students are informed of the total fees involved when enrolling at the university (total of tuition and ancillary fees). B. MacIsaac confirmed that in the university's viewbook, the tuition and ancillary fees are stated separately and that there is a budget calculator provided to students to give them the total cost. He added that the demand for postsecondary education is inelastic. Our students are educated as to the benefits of the ancillary fees (e.g. saving on cost of purchasing software).

*Upon a motion duly made by D. Reiner and seconded by D. MacMillan, the Audit and Finance Committee unanimously recommended the 2021-22 ancillary fees, as presented, for approval by the Board of Governors.*

## 8.    Project Updates
## 8.1    ACE Enhancement Project

B. MacIsaac presented the proposal to increase the ACE Enhancement project budget for consideration. He provided an overview of the additional costs of the project and responded to questions from the committee. B. MacIsaac advised that within the ACE business plan, as it gets up and running, they are anticipating a surplus starting at $500,000 growing to $1m. The additional costs will be paid out of the operating budget for now, and will be paid back out of ACE. There was a suggestion to include this information in the report for the Board meeting.

There was a discussion regarding whether there is an option to suspend the project at some point until project experts could be brought in at a later date. There was also a discussion regarding whether there are sufficient contingencies in place to cover other non-COVID related risks. B. MacIsaac confirmed that the majority of the work involved in the $16m project budget has been completed and there is a 15% contingency for the digital aspect of the project. He also confirmed that this amount has been included in the proposed budget that was presented.

*Upon a motion duly made by D. MacMillan and seconded by R. Thompson, the Audit and Finance Committee unanimously approved the following motion:*

> *WHEREAS the university's ACE Enhancement Project (AEP) is being funded through FedDev Ontario (up to $9.465M), a provincial grant ($1.5M), a contribution from Magna ($1M), and the remainder from the institution unless other gifts are received;*

> *WHEREAS the AEP is being conducted in two stages and the first stage of modifications of the ACE building to accommodate the installation of the moving ground plane (MGP) is complete;*

> *WHEREAS the second stage of the AEP has begun, which involves the integration of the MGP into ACE's current technical systems and is targeted for completion by March 31, 2020;*

*WHEREAS on November 29, 2018, the Board of Governors approved the award of the ACE Building modification contract in an amount not to exceed $4.1M and multiple MGP integration contracts in a sum not to exceed $10.4M;*

*WHEREAS on February 20, 2019 A&F was presented with an information update that the forecast costs to completion are $14.86M, which have increased $360K from last report.  The increase was based on initial quotes received for the MGP Integration component, where inflation, tariffs, and obsolete controls on MGP have increased costs;*

*WHEREAS on November 28, 2019 the Board of Governors approved increasing the sum of the multiple MGP integration contracts by $575,000 to a total of $10.975M which included a two percent reserve or $215,000 (a total project budget of $15.075M);*

*WHEREAS the administration has reviewed the revised timelines due to COVID restrictions and is anticipating an additional $1.45M of expenses;*

*WHEREAS the additional project expenses include ten months of additional labour (including internal project management and US company), a new contract for a local mechanical company, and repairs to the existing flooring and turntable equipment;*

*WHEREAS these additional expenses will be offset by $390K of earned revenues for a total <u>net</u> ask of $1.06M;*

*NOW THEREFORE, pursuant to the recommendation of management, the Audit and Finance Committee hereby recommends:*

- *that the Board of Governors approves increasing the total project budget from $15.075M to $16.525M; and*

- *that the Board of Governors authorizes and directs the President and/or the Vice-President, Administration, for and in the name of the university, to execute and deliver (under the corporate seal or otherwise) all such other documents and do all such other acts as may be necessary or desirable to give effect to this resolution.*

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

**9.1    Controlled Goods Program Policy**
**9.2    Radiation Safety Policy**
**9.3    Minutes of Public Session of Meeting of February 17, 2021**

## 10.    For Information:

**10.1   Risk, Compliance & Policy Updates**
**10.2   New Building Project Update**
**10.3   AVIN Project Update**

There was a discussion regarding insurance premiums being driven by COVID-related impacts and whether the university's insurance could be used to offset COVID impacts.

C. Foy advised that they are observing anticipation on the part of insurers that COVID will lead to COVID related claims, based on what they are worried about happening as opposed to what is actually happening.  Reinsurers are using it as an opportunity to implement greater exclusions (e.g. any infectious or injurious disease).  CURIE has reinstated $1m in COVID coverage.  The university is managing the risk by ensuring we adhere to the required protocols

## 11.  Other Business

## 12.  Adjournment
*There being no other business, upon a motion duly made by D. MacMillan, the public session adjourned at 4:00 p.m.*


Becky Dinwoodie, Secretary

# OntarioTech
## UNIVERSITY

**BOARD OF GOVERNORS**
**Governance, Nominations & Human Resources Committee (GNHR)**
Minutes of the Public Session of the Meeting of March 30, 2021
2:00 – 2:50 p.m., Videoconference

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

**Regrets:**   Lisa Edgar

**Staff:**   Jamie Bruno, Cheryl Foy, Barb Hamilton, Lori Livingston,
Andrew Sunstrum

**Guests:**   Mike Eklund

1. **Call to Order**

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

2. **Agenda**

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

3. **Conflict of Interest Declaration**

There were no conflict of interest declarations.

4. **Chair's Remarks**

The Chair thanked the members for attending the meeting.  It is difficult to believe that we are a year into the pandemic.  We have adjusted to the normalcy of meeting virtually and look forward to when we can meet in person again.  The Chair extended her thanks to the senior leadership team for their continued support of the community.  There is reason for optimism as the vaccine rollout continues to improve in pace and supply.  She shared that the committee chairs have been working with the Secretariat to ensure there is more time

allocated for strategic discussion during meetings. She looks forward to the continued discussion of EDI during today's meeting.

## 5.   President's Remarks

The President reported on the release of the President Equity Taskforce (PET) Report, which was recently released to the university community. The report serves as a template for the university. He confirmed that the university has hired a Director of Equity, Diversity and Inclusion and she is already working on setting an agenda of goals for the university in the short, medium and long-term. The President reported that throughout the pandemic, the university has been alerted to a number of issues related to EDI:

**Accessibility:** As we move online, access does not mean only access to buildings and the university as a whole. It also includes access to broadband internet. The Province has committed to improving broadband access. We will have to consider ongoing solutions.

**Ideology:** Universities are microcosms of society. Part of a university's mission should be to be leaders in society and be self-reflective. Many institutions take the approach that EDI should be handled in one way when there are many ways to approach EDI and if a different approach is taken, can be subject to criticism from an ideological perspective. The President shared a story of his interaction with Elders in the university. He had a discussion with them about land acknowledgments and the Elders encouraged him to personalize it so that it takes the acknowledgment off the page and gives it more meaning.

At the Board level, the President shared that he is proud of the gains that have been made since he joined. He referred to the 2018 Board recruitment process, which was focused on EDI principles. The Board looked for the very best people and, as a result of the focused search, there were no white male appointees. He emphasized the importance of being guided by principles to achieve the best results. It is essential to think about how we can incorporate EDI into our Board processes going forward.

## 6.   Governance
### 6.1 Strategic Discussion: Governance EDI Strategy

The Chair reminded the committee that they received the PET Report at the December Board meeting. She referenced the recommendations included in the report. The Chair also discussed the educational session with Dr. Brown in December, during which he made a powerful comment about moving from inclusion to belonging.

The Chair posed the following questions for the committee to discuss:

(a) *How important is it for the Board to ensure Board composition reflects the broader university community?*

Comments from the committee included:

- must balance with a diversity of skills, thought and expertise;
- the 2018 recruitment process was rigorous and aligned with an EDI focus - it was evident in the process that EDI was a priority;
- do we have any statistical information on community demographics that would assist with determining whether Board composition reflects our community?
- important to focus on underrepresented groups and be mindful of the community composition of the immediate vicinity of the university;
- should set goals for Board membership diversity and when recruiting, should focus on achieving those goals; should also focus on the recruitment of individuals with disabilities;
- would be helpful to establish a targeted recruitment process;
- concern that setting specific targets might have unintended consequences;
- suggestion that we should have a principled focus setting out the Board's commitment and intent rather than establishing specific targets;
- there are elements in the PET report that will be crucial;
- in the healthcare sector, they rely heavily on demographic data available on Durham Region – there is demographic information available;
- data will help inform the Board's direction and strategy;
- must determine KPIs to help us identify when we are making progress;
- will be helpful to have data to identify where we might be underrepresented;
- when we look at community, it is also important to look at our student population – important to ensure that students and faculty can see themselves in the Board membership;
- representation from underrepresented communities integral;
- also important to take into account intersectionality – an individual may represent several communities;
- do we have an EDI evaluation of the Board?  must identify gaps on the Board as they consider future vacancies; and
- should also be mindful of just "ticking boxes".

*(b) What commitments will the Board make to improving their understanding of EDI?*

Comments from the committee included:

- the Board should commit to continuous professional development;
- must keep abreast of education on EDI;
- committee members expressed support for committing to further education on EDI; and

- optional PD sessions provide further opportunities for learning – also referenced Pi Day Speaker Series, which included some EDI topics;
- should also consider adding EDI questions to the Board/Committee annual assessment – do governors feel included?  Could be used to assess current status of Board's inclusiveness;
- helpful to be a bit more specific with respect to diversity aspect of the Board;
- suggestion that the new EDI Director provide an update to the Board to ensure the work is being done in parallel; and
- governors would be willing to share their learnings from their professional lives.

## 6.2    Annual Board & Committee Practices Assessment

C. Foy provided an overview of the report included in the materials.  She asked the committee to consider whether the assessments should go into a greater level of individual assessment and whether we should use the assessments as an opportunity to gather additional information from governors.  We have not yet asked governors to self-identify on intersectionality.  Should this be added to the annual assessment or should a separate survey be developed?  What question(s) would the committee want to add this year, if any?

A member noted that the assessment would provide an opportuniuty to identify a few areas where the Board could be more helpful to the university.  There was a discussion regarding what other institutions' Boards are doing with respect to EDI.  B. Dinwoodie updated the committee on the benchmarking exercise that was conducted at the start of the Board year with respect to the approach other institutions' Boards are taking with respect to EDI.  The responses collected during the benchmarking indicated that other instititions' Boards had not yet developed an EDI statement and that it was being addressed at the institutional level.  The Board Chair shared his experience working at a provincially owned organization and advised that EDI is front and centre of every discussion with the shareholders.

The committee supported aiming for a 100% response rate for the annual assessments.  They also agreed that EDI is critical for Board effectiveness.  They want to ensure that the Board takes intentional steps when making their EDI commitments.  Whatever the Board does with respect to EDI, it is important to ensure it is thoughtful and purposeful.  A member commented that the Board must also be "wary of symbolism."  It was suggested to add an open-ended question to the Board Practices Assessment to the effect of "What is your perspective about the Board's role in EDI?"  It is important to engage with the communities that you want to represent.  The Board must have the buy in of the community and ensure it is authentic and developed from a place of true meaning.  The

committee agreed that it is a good time to leverage the survey and assess the governors' perceptions of EDI.

**7.      Consent Agenda:**

The Chair noted that the policies being presented underpin the university's work on EDI.

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

**7.1      Accommodation Policy**
**7.2      Respectful Campus Policy**
**7.3      Procedures to Prevent and Address Discrimination and Harassment By or Against Employees**
**7.4      Minutes of the Meeting of January 28, 2021**

**8.      For Information:**

**8.1      Annual Pension Plan Report**

**9.      Other Business**

**10.      Adjournment**

*There being no other business, upon a motion duly made by L. Elliott, the public session of the meeting adjourned at 2:55 p.m.*

Becky Dinwoodie, Secretary

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

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**Minutes of the Public Session of the Meeting of Thursday, March 18, 2021**
**2:00 p.m. to 3:25 p.m., Videoconference Only**

**Attendees:** Thorsten Koseck (Chair), Azzam Abu-Rayash, Liqun Cao, Kevin Chan, Mitch Frazer, Steven Murphy, Dietmar Reiner, Jim Wilson, Lynne Zucker

**Staff:** Jamie Bruno, Becky Dinwoodie, Cheryl Foy, Barb Hamilton, Les Jacobs, Lori Livingston, Brad MacIsaac, Sue McGovern

**Guests:** Mike Eklund

### 1. Call to Order

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

### 2. Agenda

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

### 3. Conflict of Interest Declaration

There was none.

### 4. Chair's Remarks

The Chair thanked the members for making time to attend the meeting. After a year of dealing with the pandemic, we can finally start to see a light at the end of the tunnel. He shared a story about a colleague in the United States who contracted COVID after following all of the protocols and made an exception to have dinner at a friend's. He encouraged everyone to remain vigilant and to get vaccinated when they have the opportunity.

### 5. President's Remarks

The President began by saying he also hopes everyone is keeping well and agrees that we can see the light at the end of the tunnel. He provided an update on the return to campus planning. He emphasized the need to stay nimble. The reality is that this year will differ from a normal year. In the best case scenario, classes will be able to be held

on campus.  Planning will continue to be guided by public health.  In the worst case scenario, emergency remote teaching will continue.  If we must continue to observe physical distancing, there may be a blended scenario where large classes take place online and smaller labs can happen in person.  Ensuring the safety of the campus community continues to be the main priority.

The Chair asked whether there is a drop dead date for the decision on next year's classes. The President updated the committee on the parallel planning that is taking place for the fall in order to be prepared for several scenarios and to be able to provide our students with some certainty.  The Provost outlined the upcoming critical dates, including the university's virtual Open House being held on March 27.  She emphasized that at this point, communications are key as we continue parallel mapping of the fall schedule.  Most institutions have communicated that they will be back on campus and we will be delivering a similar message that we will be on campus if possible and providing online options, as well.  The schedule for the Winter Term will be delayed until we have more certainty. There was a discussion regarding the messaging for international students.  B. MacIsaac advised that work continues with the Faculties to provide flexibility to students who may not be able to travel or come to campus because of health issues.

There was also a discussion regarding whether the return to campus would be dependent on people being vaccinated.  C. Foy advised that there is a COU working group examining the issue and a legal opinion will be obtained.  From a legal perspective, they are exploring what incentives and/or constraints are appropriate for unvaccinated individuals.  C. Foy explained that generally, when a legal opinion is obtained through COU, it provides a framework for the university to work within.  The committee also discussed the anxiety levels that can be anticipated upon returning to campus.  The President acknowleged the mental health concerns considering everything people have experienced over the past year.

The President discussed his efforts to try to get people to think about the future and focused on strong pedagogy that incorporates technology that will make us the experiential learning leader of Canada.  They are also working to reshape how the university thinks about work and will be giving employees the flexibility to work both at home and on campus.  The President acknowledged that there is an incredible amount of change happening at the same time.  He noted that it makes little sense to insist that everyone comes back in person as the focus is on the work that people get done as opposed to where they do it.

## 6.   Strategy

### 6.1.   Strategic Discussion: Sticky Campus – Post-COVID 19

L. Livingston explained that COVID has shifted our reality and that the university now has three prominent campuses: north, downtown, and virtual.  COVID has flipped our reality

where everything is now taking place virtually. Social interactions are important to the university community and people miss the collective spirit. The focus is on how to keep people connected to our campuses. L. Livingston noted there are three key emerging perspectives relating to COVID:

1. COVID has changed our behaviours and will have a lasting impact.
2. Resiliency in univesrity design must focus on ability to adapt to changing environment.
3. Online learning and online work do not replace the face-to-face interactions.

There were three key strategic questions for the committee to consider:

- How do we strategically align the educational, work, and social needs of our constituents within our physical and virtual spaces?
- What strategies should guide the re-purposing of our existing spaces and our technological assets to be shared, flexible, and task-oriented?
- What strategic approach should we utilize in welcoming and reconnecting with our community stakeholders, industry partners, and alumni in new and meaningful ways?

L. Livingston advised that the current focus is getting students back on campus. As we transition back to a new reality and experience a shift in the proportion of people working in different locations, how do we welcome people back when some may not feel comfortable returning to campus?

Comments and suggestions from the committee included:
- suggestion of having a "welcome back open house";
- encouraged the university to be seen as leaders in this area - opportunity to look at what is the end stage we are aiming for and how to move toward it?
- opportunity to be a leader as opposed to responding to the environment;
- continue to offer a combination of online and in person as a future reality;
- if able to be a step ahead, would be in position to help industry partners and other institutions that are facing similar issues;
- social aspect – what has transitioned online that we do not want to lose upon returning to campus?
- suggestion to take some control over who the university needs back on campus - start with the principle of who needs to come back - if we allow large groups of people to work from home without fully understanding the landscape when returning, it could be problematic – will be important to set out constraints;
- it will be an opportune time to host appreciation events/galas for the university community to help with engagement;
- strategy in the manufacturing environment is to have workers come back to work in person at least once or twice a week - also important to build in a transition phase to help people adjust and become more comfortable; and

- consider that if repurposing spaces, it is a great tool to drive culture change – use the  refreshed vision, mission and values and incorporate into the space planning.

### 6.2.    Strategic Risk Update

C. Foy provided an update on strategic risk planning.  She informed the committee that the focus is on ensuring we are not knocked off our strategic game.  She provided an overview of the process followed, with the help of the Board, to identify twelve key strategic risks.   They also identified the key foundational risks: financial sustainability and compliance.  This year, they have been particularly focused on mapping the operational risks to the strategic risks.  As one of next year's priorities, the senior leadership team is planning a review of the strategic risks to ensure they align with the strategic pillars.  C. Foy responded to questions from the committee.

(J. Wilson joined at 2:48 p.m.)

Support was expressed for the alignment of the strategic risks with the university's vision, mission and values, and strategic priorities.  There was a discussion regarding highlighting the key risks that would impede the university's progress on achieving its strategic priorities.   There was also a discussion regarding how the implementation of risk management involves a cultural shift.   C. Foy advised that they are observing good engagement in risk management at the senior level, which is crucial.  The next step will be to hold risk owners accountable and make it part of the performance management process.

### 6.3.    Strategic Planning Metrics

L. Livingston provided an overview of the report included in the meeting material.  She advised that the university has experienced a shift in its strategic priorities with the establishment of the President's key strategic pillars and the refreshed vision, mission, and values.  Given these changes, it is an appropriate time to take another deep dive into the metrics and establishing meaningful targets.   L. Livingston reviewed the proposals with the committee, which were:

*Proposal 1:*

Create a set of indicators, derived from and associated with our current plans, to be associated with and balanced across the four main pillars of the university's mission:

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

*Proposal 2:*

Narrow the number of indicators by limiting to a maximum of no more than two or three per pillar.

*Proposal 3:*

Report back on an annual basis to the Board (i.e., in May/June timeframe).

L. Livingston responded to comments and questions from the committee. There was a discussion regarding whether the metrics would be cross-referenced with the new SMA indicators. L. Livingston clarified that they are looking to establish robust KPIs. A member commented that the metrics should help assess whether the university is making progress towards meeting the end goals of its strategic priorities and help determine whether any adjustments to the course of action need to be made. It will also be important to ensure that the indicators align and do not undermine the SMA metrics.

### 6.4. Research Strategy Update

L. Jacobs delivered an update on the university's research strategy. He reviewed the four pillars of the research strategy:

- Research Reputation
- Research Rankings
- Research Funding
- Research Intensity

L. Jacobs reviewed the progress that has been made since 2019. He noted that the progress reflects the university's nimbleness and ability to meet deadlines important to industry research. He also emphasized the multidisciplinary nature of the university's research priorities.

The Chair commended L. Jacobs and his team for the progress that has been made over a short period of time. Committee members supported the alignment of the research strategy with the university's vision, mission, and values, as well as the focus on EDI. There was a discussion regarding when L. Jacobs would be satisfied with the metrics. L. Jacobs emphasized industry sponsored research. He noted that much of the movement that has happened has been incremental and referenced the use of Mitacs (a matching program of industry sponsored graduate student placements). L. Jacobs explained that they are focusing on the talent that we offer. The initial focus is on the Durham and Northumberland Regions. This progress translates back to research benefits to the university, as well as supporting local economic development. The next big step will be to obtain big industry partnerships.

## 7. Planning

### 7.1. Board Retreat Planning

S. Murphy summarized what was finalized at the last S&P meeting. The retreat will be focused on what the new normal will look like post-COVID. He noted that some great comments were made during the meeting that will help with the planning. During the retreat, the following questions will be explored:

- How do we service our students more holistically?

- How do we put our students' education in their hands?

- How do we move to a user-centric design?

S. Murphy confirmed that a student panel will be part of the retreat to help the Board understand the expectations and assumptions of the next generation of students. There was a discussion regarding whether the retreat could be held in a hybrid format, with several people participating in person and others participating virtually. S. Murphy noted that as a public facing institution, we are strictly managing who can attend on campus, with priority being given to researchers and essential employees. The Board must be conscious that if they meet in person, that sends a message to the community.

## 8. Consent Agenda

*Upon a motion duly made by L. Zucker and seconded by J. Wilson, the Consent Agenda was approved.*

### 8.1. Minutes of Public Session of Meeting of January 14, 2021

## 9. Other Business

## 10. Adjournment

*Upon a motion duly made by D. Reiner, the public session adjourned at 3:29 p.m.*

Becky Dinwoodie, Secretary

![OntarioTech University logo]

**BOARD OF GOVERNORS**
Investment Committee

**Minutes of the Public Session of the Meeting of February 17, 2021**
**11:30 a.m. – 12:25 p.m., Videoconference**

**Members:** Stephanie Chow (Chair), Mitch Frazer, Ferdinand Jones, Thorsten Koseck, Mark Neville, Dietmar Reiner, Maria Saros, Kim Slade, Steven Murphy

**Staff:** Becky Dinwoodie, Cheryl Foy, Brad MacIsaac

**Guests:** Leila Fiouzi & Jacinta O'Connor (PH&N), Chelsea Bauer (FA)

**1. Call to Order**

The Chair called the meeting to order at 11:31 a.m.

**2. Agenda**

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

**3. Conflict of Interest Declaration**

None.

**4. Minutes of Public Session of Meeting of November 12, 2020**

*Upon a motion duly made by D. Reiner and seconded by F. Jones, the Minutes were approved as presented.*

**5. Chair's Remarks**

The Chair welcomed the members to their first committee meeting of 2021. It's difficult to believe that it has been almost a year since we have all been working from home. It is normally a challenging time of year due to the "winter blues" and this has been exacerbated by the pandemic. The Chair encouraged everyone to prioritize their mental health. She also noted that the agenda has been structured to allow time for strategic discussion and she encouraged the members to actively participate in the discussions.

## 6. President's Remarks

The President reminded the committee that it is B. MacIsaac's first committee meeting in his new role as VP Administration. The members of the senior leadership team who are committee leads are being encouraged to work with the committee chairs ahead of time to develop the agenda to ensure that it reflects the committee's priorities. During today's meeting, time will be spent discussing the Statement of Investment Policies (SIP) and the university's investment objectives. As we make this shift, there will be growing pains. The goal is to provide additional opportunity for strategic discussion, as members of this committee have expressed the view that there has not been enough time to discuss recommendations. The President thanked the Secretariat, the Board Chair and Committee Chair for helping accomplish this.

## 7. Investment Review

### 7.1. Third Quarter Investment Review

L. Fiouzi reviewed the performance of the portfolio over the last quarter. The portfolio performed 1% ahead of the custom benchmark. Further, it is generating more in the cash account than what it would make from regular short term investments.

### 7.2. Annual ESG Report

L. Fiouzi reminded the committee that RBC is a UNPRI signatory. She explained the rationale for RBC signing onto it. This approach ensures RBC is properly accounting for the risks and opportunities in portfolios. Non-financial factors are playing an increasingly important role in investments. L. Fiouzi reviewed the definitions of environmental, social and governance factors. She advised that as responsible investors, PH&N incorporates ESG into their decision-making processes. Using their position as large asset managers is for the good of their shareholders. PH&N has fossil-free investment products available. She noted that the transparency report is included in the meeting material for the committee's review.

L. Fiouzi advised that RBC has always maintained a grade of A or A+ and last year they received a grade of A+. She reported that they conduct their own due diligence with respect to ESG, in additional to relying on external sources. She emphasized that customer service is also an important factor that is examined, which would never appear on a company's financial statements. If members want to know how PH&N's proxies are voted, they are available publicly, as well as their proxy voting guidelines. There has been an increased focus on diversity over time (minimum of 25% female directors on the boards of companies in which PH&N invests). Well run companies tend to have more diverse boards. L. Fiouzi also reviewed the results of their annual survey of institutional clients with respect to ESG. She highlighted the shift in attitudes of Canadian institutional investors towards ESG over the last few years.

The Chair reminded the committee that this presentation is important as it forms part of the committee's oversight responsibility as set out in the SIP. L. Fiouzi responded to questions from the committee, which included:

- What impact has incorporating ESG had on investment performance?

    o L. Fiouzi advised that incorporating ESG into the assessment of investments has enabled them to produce better returns for their clients, as they are able to identify intangible costs and opportunities.

- Are they seeing an alignment of focus on climate change and new opportunities?
    o L. Fiouzi responded that they are observing longer term structural changes in companies focused on addressing climate change. They are also observing a change in consumer attitudes with respect to climate change.

The Chair asked L. Fiouzi to provide an overview of the current state of the markets. L. Fiouzi advised that their view is that looking forward, they still see better return opportunities from equities as opposed to bonds. The outlook is for the economic trajectory to improve due to the combination of vaccinations and pent up demand. L. Fiouzi highlighted the strategies already in place in the portfolio to situate it well from an early cycle environment. She confirmed that they are not recommending making any further changes to the asset allocations in the portfolio at this time. There was a discussion regarding whether risk avoidance is worth the .1% being below benchmark. L. Fiouzi cautions clients not to expect to be ahead of benchmark every single time. If a portfolio is performing ahead of benchmark every quarter, it is likely as a result of changing the asset allocation too frequently or investing outside of the the investment guidelines. L. Fiouzi explained how the custom benchmark is set.

### 7.3. Strategic Discussion: Strategic Review of Statement of Investment Policies

S. Chow provided an overview of the SIP and Asset Class Management Strategy (ACMS). She asked the committee to consider what their risk appetite is, keeping in mind the committee's investment objectives. The committee's comments included:

- not too uncomfortable with the risk profile we have - prefer to keep in line with a balanced recommendation - perhaps move a bit more to equities (up to 45% from 40%);

- looking at the long term performance, it has been quite good and has benefitted from the changes made - cautioned against "chasing the market";

- the SIP does a good job of capturing the committee's objectives - PH&N has done a good job of bringing opportunities that weren't available under "alternatives";

- consider looking at the fixed income proportion and provide flexibility given the low interest environment - consider changing allocation given the low returns;
- notion of "capital preservation" versus "income generation" - must be thoughtful about striking a balance between the two - might have been overly conservative in favour of capital preservation - worthwhile to revisit that language;
- could this be addressed by providing PH&N with a broader range to work within?;
- range in SIP for fixed income is 20-50% - if comfortable with this range, seems PH&N limited by ACMS;
- at the moment, the university has the SIP and ACMS – should review the need to have 2 separate documents, as having only the SIP would provide PH&N with more flexibility;

  - o L. Fiouzi advised that the university is one of only two clients that have two separate investment management documents, including one that lists specific funds – this interferes with PH&N's ability to make tactical changes in a timely manner – they discourage clients from having specific fund names listed.

- is there some way for PH&N and management to review the documents and bring them together to ensure we know how we are sitting with respect to the SIP – what does over/under weight mean? Suggest cleaning things up and keeping things in one place, if possible;

  - o L. Fiouzi added that targets must be included within the range to ensure the committee can measure the investment manager's ability to add value.

- member expressed support for eliminating the ACMS in order to provide PH&N with additional flexibility with the assurance that there are controls in place;

  - o L. Fiouzi confirmed that controls are in place in the current SIP.

The committee directed B. MacIsaac to work with PH&N to incorporate the ACMS into the SIP and return with the amendments for review at the next meeting.

## 8.   Other Business

## 9.   Adjournment

There being no other business, upon a motion duly made by M. Saros, the public session of the meeting adjourned at 12:40 p.m.


Becky Dinwoodie, Secretary

**Ontario Tech**
UNIVERSITY

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**       **Board of Governors**

**DATE:**     **June 24, 2021**

**FROM:**     **Strategy & Planning Committee and Investment Committee**

**SUBJECT:**  **Annual Endowment Disbursement**

**COMMITTEE MANDATES:**

The Strategy and Planning Committee (S&P) is responsible for overseeing the strategic planning for all aspects of the university and assessment of the implementation in the context of the university's vision, mission and values. This includes the plans supporting the implementation of the university's overarching Integrated Academic Research Plan, including the Advancement Plan.  As outlined in the Endowment Management Policy and Procedures approval of the disbursements is to be recommended by S&P to the Board of Governors.

As the Investment Committee oversees the endowment fund it is incorporated into the approval process.

The Committees are seeking the Board's approval of a maximum spending level from the Endowment portfolio for fiscal year 2021-22.

**BACKGROUND/CONTEXT & RATIONALE:**

This report will highlight additions, earnings, disbursements, and the net position of the Endowment.

Endowments typically accumulate assets and disperse income to beneficiaries over extended periods of time. Ontario Tech's Endowment consists of funds, largely donations secured through Advancement, which are set aside permanently with a portion of investment returns used to support operations, normally specific student awards as directed by the donor.  Part of Ontario Tech's endowment philosophy includes 'capital

preservation' (i.e. adjusting the capital value by inflation) so as to preserve the purchasing power of the awards. Effective oversight requires facing the contradictory goals of maintaining a target spending rate and preserving the real value of the fund while operating in an environment of unpredictable shifts in markets. In general, donor agreements set out an expectation of a 4% disbursement of the inflation adjusted principle (original donation). Increases in donor awards are in discrete increments, which vary by award. Ontario Tech assumes the long term sustainability is supported by establishing a disbursement rate of approximately 3-5% based on a variety of reports (i.e. Morneau Shepell's Funding Sustainability report.)

Over time, the value of the portfolio has experienced significant growth. A summary of the current portfolio balances (as at Dec 31) are as follows (all numbers in 000's):

|  | 2020 | 2019 | 2018 | 2017 | 2016 |
|---|---|---|---|---|---|
| Principle (Donations) | $18,387 | 17,891 | 16,558 | 15,818 | $15,452 |
| Capital Preservation | 2,970 | 2,844 | 2,406 | 2,191 | 1,931 |
| Net increase in Book Value | 5,914 | 5,532 | 5,173 | 5,109 | 4,052 |
| Adjusted Unrealized Gain | 3,907 | 2,502 | 1,247 | 2,294 | 1,686 |
|  |  |  |  |  |  |
| Total Market Value | $31,178 | 28,769 | 25,384 | 25,412 | $23,121 |

**Key facts:**

i.    There are currently 122 specific endowed funds.
ii.   The average inflation rate for the past 5 years has been approximately 1.5%.
iii.  Realized income net of fees (i.e. interest, dividends, realized gains) have averaged 4.4% since 2004
iv.   Total returns have been 3 year = 6.7% and 5 year = 8.1%.

Disbursement amounts and number of awards have been as follows:

| Fiscal Yr | Awards | Amount | Distrib. %[1] |
|---|---|---|---|
| 2017 | 253 | $460K | 2.6% |
| 2018 | 261 | $475K | 2.6% |
| 2019 | 309 | $615K | 3.2% |
| 2020 | 409 | $711K | 3.4% |
| 2021 -proposed | 450 (est) | $775K (max.) | 3.6% |

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[1] Presents distributions as a percentage of inflation adjusted donations

**CONSULTATIONS:**

The university's Endowment Committee consists of representatives from Finance, Advancement and Student Awards.

Due to increased donations and a stable portfolio Ontario Tech has been able to increase disbursements over time. In the current environment (i.e. the pandemic) the committee noted that it is even more critical than ever to continue to support students while managing market risk. Based on a review of the portfolio performance and an assessment of the donor agreements, the committee recommended a maximum disbursement for fiscal year 2021-22 of $775K. This would allow support for a significant number of additional students compared to the $725K approved in 2020-21 (e.g. 50 more awards of $1000), while at the same time ensure sustainability of the endowment funds.

**PROCESS/ NEXT STEPS:**

May 13, 2021 – Strategy & Planning
June 2, 2021 – Investment
June 24, 2021 - BoG

A review of the policy and procedures is underway.

**MOTION:**

*That pursuant to the recommendations of the Strategy and Planning Committee and Investment Committee, the Board of Governors hereby approves the disbursement of up to $775,000 from the Endowment Fund for distribution by student awards in 2021-22.*

**SUPPORTING REFERENCE MATERIALS:**

N/A

# BOARD REPORT

| **SESSION:** | | **ACTION REQUESTED:** | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☒ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☐ |

**TO:**        **Board of Governors**

**DATE:**      **June 24, 2021**

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

**SUBJECT:**   **2021-2022 Board Leadership**

## COMMITTEE MANDATE:

As set out in the terms of reference for GNHR, the committee's responsibilities include:
- overseeing the nomination and election of a Chair and Vice-Chair from among the external governors of the Board; and
- 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.

## BACKGROUND/CONTEXT:

**Board Leadership**
In accordance with Section 8(13) of the *University of Ontario Institute of Technology Act*, the Board Chair and Vice-Chair(s) shall be elected on an annual basis.  The Recruitment, Appointment and Leadership Policy ("Policy") provides that there will be one (1) Chair who will normally be nominated and elected from the incumbent Chair or Vice-Chairs.  An incumbent Chair will have the opportunity to express interest in re-election to the Chair position, provided such person is within the normal term length for an External Governor.  The Policy also provides that there will be two (2) Vice-Chairs who will normally be nominated and elected from the incumbent Vice-Chair(s) or Committee Chairs.  The incumbent Vice-Chair(s) will have the opportunity to express interest in re-election to the Vice-Chair position, provided such person is within the normal term length for External Governors.

The term of the Board Chair, Dietmar Reiner, ends on August 31, 202 and he is eligible for renewal.  He has confirmed his interest in being re-elected as Chair for the upcoming year.  The Vice-Chairs, Laura Elliott and Maria Saros, have also confirmed their interest in continuing to serve as Vice-Chairs of the Board for 2021-2022.

*Committee Leadership*

Section 10.2 of the Policy stipulates that Committee Chairs will normally be recruited from within the incumbent External Governors.  External Governors will have an opportunity, on an annual basis, to express interest in Committee Chair positions.  Further, Committee Chairs will be selected from members who have demonstrated a high degree of commitment to the University, the Board and its Committees and who meet the desired skill and competency profile for leadership of the respective Committee for which they are being considered.

L. Elliott and M. Saros have confirmed their willingness to be reappointed as the Chairs of the Audit and Finance Committee and Governance, Nominations, and Human Resources Committee, respectively.  Lynne Zucker will be stepping in as Chair of the Strategy & Planning Committee as the professional responsibilities of Thorsten Koseck have changed over the past year.

**COMPLIANCE WITH POLICY/LEGISLATION:**
- Section 8(13) of the university's Act
- Board Recruitment, Appointment and Leadership Policy

**MOTION FOR CONSIDERATION:**

*That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the following appointments:*

1. *Reappointment of Dietmar Reiner as Chair of the Board for 2021-2022;*

2. *Reappointment of Laura Elliott and Maria Saros as Vice-Chairs of the Board for 2021-2022;*

3. *Appointment of the following Board members to the positions of Chair of the specified Committee for 2021-2022:*

| | |
|---|---|
| *Laura Elliott* | *Audit & Finance* |
| *Maria Saros* | *Governance, Nominations & Human Resources* |
| *Lynne Zucker* | *Strategy & Planning* |

**SUPPORTING REFERENCE MATERIALS:**
- none

**Ontario Tech**
UNIVERSITY

# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☒ |

**TO:**        **Board of Governors**

**DATE:**       **June 24, 2021**

**FROM:**       **Ferdinand Jones, Academic Council Liaison to the Board of Governors**

**SUBJECT:**     **2020-2021 Academic Council Annual Report**

Academic Council is the academic governing body for Ontario Tech and it plays a significant role in university governance. It is the role of Academic Council to oversee the academic work of the university, and to advise and make recommendations to the Board on important matters. As Academic Council's Board liaison, I am pleased to report on the tremendous work done by Council this year and provide a summary of Academic Council's considerable accomplishments.

As one of the university's governance bodies, Council engaged in a series of strategic discussions over the past year, which focused on:

- o How we can differentiate Ontario Tech from other institutions to enhance our student experience and engagement.
- o Blended Learning: Challenges & Opportunities, Guiding Principles, and Ontario Institutions' Approach to the Future of Learning & Mental Health.

## Recommendations to Board of Governors

Academic Council recommended the following proposals for approval by the Board of Governors:

- Bachelor of Science (Honours) in Integrated Mathematics and Computer Science Program
- Master of Business Analytics and AI Program
- Bachelor of Health Administration Program

- Doctor of Education Program
- Graduate Diploma in Police Leadership Program
- Establishment of an Institute for Disability and Rehabilitation Research

## Governance Initiatives

- In January, Academic Council approved the Terms of Reference for an Anti-Racism and Inclusion Working Group.  This group was established to:
    - examine and make recommendations regarding how Academic Council can engage with the community to better support and remove barriers for our marginalized students;
    - how Academic Council, as a governance body, can further demonstrate a commitment to equity, diversity and inclusivity; and
    - identifying specific actions to be incorporated into Academic Council's work plan.
- Implementation of recently approved Vice-Chair Selection Procedures and appointment of Vice-Chair of Academic Council
- Development & approval of Faculty Council Vice-Chair Selection Procedures
- Review & approval of updated Research Board Terms of Reference (now Research Committee)
- Review & approval of updated Academic Council Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives (now Academic Council Procedures for the Election of Teaching Staff, Administrative Staff and Student Members)
- Review of Academic Appeals Committee Terms of Reference
- Review of Faculty Council Terms of Reference
- Renewal of delegation of authority to Steering Committee

## Curriculum & Program Changes

Academic Council approved the following major program modifications:

- Faculty of Education – Minor Program in Educational Studies and Digital Technology
- Faculty of Social Science and Humanities – Bachelor of Arts in Psychology
- Faculty of Social Science and Humanities –  Bachelor of Science in Psychology
- English Language Proficiency – Duolingo English Test
- Faculty of Education – Bachelor of Arts in Educational Studies and Digital Technology
- Faculty of Business and Information Technology – Bachelor of Information Technology in Game Development and Entrepreneurship
- Faculty of Health Sciences – MHSc in Health Sciences – Community, Public, and Population Health; Health Informatics; Kinesiology fields
- Faculty of Health Sciences – PhD in Health Sciences
- Faculty of Health Sciences – Work Disability Prevention Graduate Diploma

## Academic Policy

Academic Council reviewed and approved the following academic policy instruments and policy updates:

- Academic Integrity policy instruments
- Virtual proctor system directives
- Undergraduate Scholarship Policy
- Professional Suitability Policy and Procedure
- Undergraduate Academic Appeals Policy

## Conferral of Degrees

Academic Council confirmed the eligibility for graduation of those students who fulfilled all degree requirements at the end of the Summer and Fall Terms 2020 and Winter Term 2021 and who were recommended for graduation by their Faculty. This included approving to graduate our eligible nurses early so that they could join health care service agencies on the front lines to assist with the pandemic response.

## Reports Received

Academic Council received the following reports from the Undergraduate Studies Committee and Graduate Studies Committee:

- Cyclical Program Review 18-Month Follow-Up Reports for the Master of Applied Science and Master of Engineering in Automotive Engineering, Master of Applied Science, Master of Engineering, and Doctor of Philosophy in Electrical and Computer Engineering, and Master of Applied Science, Master of Engineering, and Doctor of Philosophy in Mechanical Engineering programs
- Cyclical Program Review 18-Month Follow-Up Reports for Bachelor of Engineering in Manufacturing Engineering, and Bachelor of Engineering in Mechanical Engineering Cyclical Program Reviews
- Program Review 18-Month Follow-up Report – Bachelor of Science in Chemistry
- Cyclical Program Review: Faculty of Social Science and Humanities – Bachelor of Arts in Political Science

## Scholarships

The selection of recipients for the major scholarship awards for 2021-22 were finalized, and the following is the status of their application and scholarship:

**Chancellor's Scholarship:** **Jemma Tam, Whitchurch-Stouffville (Bill Hogarth Secondary School)**

Offer of admission to Biological Science
Scholarship offer *accepted*

**President's Scholarship:** **William Blake Pezzarello, Brooklin (Father Leo J. Austin CHS)**
Offer of admission to Biological Science
Scholarship offer *accepted*

**Khadeeja Fakhridin, Whitby (Sinclair Secondary School)**
Offer of admission to Nursing
Scholarship offer *accepted*

**Founder's Scholarship:**      **Hans Dizon, Oshawa (Monsignor Paul Dwyer CHS)**
Offer of admission to Commerce
Scholarship offer *accepted*

**Hana Haytaoglu, Trenton (East Northumberland Secondary School)**
Offer of admission to Forensic Science
Scholarship offer *accepted*

**FIRST Robotics Scholarship:**      **Chantel Scott, Toronto (Mary Ward CSS)**
Offer of admission to Mechatronics Engineering
Scholarship offer *accepted*

**Global Leadership Scholarship:**      **Akshat Gupta, New Delhi, India (The Shri Ram School)**
Offer of admission to Mechanical Engineering
Scholarship offer *accepted*

The Chancellor's, President's, and Founder's Scholarships are given to applicants who demonstrate outstanding academic achievement (minimum 85 percent average) and exceptional leadership and community involvement.  The Global Leadership Scholarship is one of the university's most prestigious entrance awards and recognizes international secondary school applicants with strong academic and leadership abilities.

## 2021 Honorary Degree Recipients
The Honorary Degrees Committee awarded honorary doctorates to the following recipients:
- Dr. Mohamed Lachemi
- The Right Honourable Brian Mulroney and Mila Mulroney
- Noreen Taylor

## Academic Council Elections
Academic Council held an election in February 2021 to fill the vacant positions for 2021-2022.  The election was held in accordance with the Academic Council Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives instituted in 2015 by Council.  The elections ran smoothly and no complaints were received regarding the conduct of the elections.

## Governance Education
Academic Council members were invited to attend an orientation session on September 22, 2020 and focused on the university's legislation, by-laws and Rules of Order.

## Consultations

Academic Council was consulted on the following:

- Refresh of the university's Mission, Vision and Values
- Compliance Policy
- University's Integrated Plan
- Controlled Goods Policy
- 2021-2022 Tuition Framework
- Accommodation Policy
- Respectful Campus Policy
- Harassment and Discrimination Procedures for Employees
- Radiation Safety Policy
- Expenses Procedures
- Signing Authority Policy
- Expenditure Signing Authority Procedure
- Legal Commitments Signing Authority Procedure
- Workplace Violence Policy & Procedure

**BOARD REPORT**

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| Public | ☒ | Decision | ☐ |
| Non-Public | ☐ | Discussion/Direction | ☐ |
| | | Information | ☒ |

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

**TO:**            **Board of Governors**

**DATE:**         **June 24, 2021**

**FROM:**        **Audit & Finance Committee**

**PREPARED BY:**   **Brad MacIsaac, VP, Administration**

**SUBJECT:**     **Capital Projects Update – ACE Moving Ground Plane and New Building (A5)**

**COMMITTEE/BOARD MANDATE:**

In accordance with its Terms of Reference, A&F is responsible for overseeing the financial affairs of the university, which includes ensuring fiscal responsibility and providing oversight for major capital projects, auxiliary operations, and structures.

We are providing the Board with an update on the status of the ACE Enhancement Project and the new building (A5).

**BACKGROUND/CONTEXT & RATIONALE:**

A5 is proceeding as planned for an opening in fall 2021. As previously noted the project was delayed in the beginning due to ground water levels; but, the revised scheduling is on track. To mitigate COVID concerns some construction was pulled forward (i.e. wiring and wall enclosure) noting we may incur delays later depending on regional restrictions. While we had a COVID related delay we are still on track for end of August occupancy. Since the last report we have **completed awarding all sub-contracts** and are on budget.

ACE MGP has incurred major delays due to COVID restrictions.  At the April 2021 BoG meeting a report was submitted outlining the project history. A revised timeline and budget was accepted at that time.  The university has successfully completed the assembly of the machine thanks to a virtual walk through with technical leaders, the hiring of a local mechanical company and the staff at ACE facility.  MTS has been able to cross the border for systems check, while it was delayed two weeks we are still on track to bring the full team over in mid-June.  June/ July will focus on the controls, wiring and integration with functional commissioning planned for August.  The full commissioning is planned for September 2021 and first run in October 2021.

**RESOURCES REQUIRED:**

No additional resources required. We will closely monitor any changes to each project due to COVID restrictions.

**CONSULTATION:**

For the ACE MGP operations plan there were consultations with the ACE Management Committee to look at options (i.e. delay, maximizing virtual work and minimizing numbers on campus) and the Pandemic Response Team (i.e. on-site working requirements).

**NEXT STEPS:**

An update will be provided at the next meeting of A&F.

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**SUPPORTING REFERENCE MATERIALS:**
- PowerPoint summaries for month ending May 2021 attached

# ACE Enhancement Project



# Monthly Project Update
## MAY 2021

# BoG – Schedule Approval Tracking

| Milestones | Nov-18 | Nov-19 | Apr-21 | Actual | Variance Explanation |
|---|---|---|---|---|---|
| Building Modification | Jul-19 | Jul-19 | Jul-19 | Aug-19 | |
| Integration Phase I | Dec-19 | Mar-20 | Mar-21 | Mar-21 | delayed contract signing & increased turntable upgrades |
| Integration Phase II | Mar-20 | Sep-20 | Sep-21 | | increased engineering requirements |

# Upcoming Activities

| | Description | Begin Date | End Date | Act Begin | Act End | Comments |
|---|---|---|---|---|---|---|
| Phase I | assembly & functional operation | 3-Feb-21 | 14-Mar-21 | 15-Feb-21 | 18-Mar-21 | moved to virtual installation. Late start has no delay on end date |
| Phase II A | systems check & validation | 3-May-21 | 21-Jun-21 | 11-May-21 | | MTS Arrives May 11, due to COVID international crossing logistics<br>ACE, Western, & MTS currently in process |
| Phase II B | controls integration & debug | 21-Jun-21 | 31-Jul-21 | | | ACE, Western, & MTS |
| Phase III | Functional Commissioning | 1-Aug-21 | 7-Aug-21 | | | confirm all elements of the system working & training |
| Phase IV | Final Commisioning | 25-Sep-21 | 2-Oct-21 | | | Calibration (ACE/Ontario Tech & Aiolos) |
| Phase V | First Test Run | 3-Oct-21 | 9-Oct-21 | | | Test operation of the system with Multimatic vehicles |

## Health & Safety

- No incident to report this period

## Change Control:

- Nothing to report this period

## Procurement Summary:

- Nothing to report this period

## Financial Summary:

- Total Actual Cash Flow to date $15.4 M
- Project estimated cost at completion $16.525M

# A&F Roll up Financial Report as of 31 May 2021

## Sources of Funds - Cash Flow

| Description | 2019 Nov Funding | Actual Total Todate | May 2021 | Funding at Completion | Balance Funding To date | Comments |
|---|---|---|---|---|---|---|
| FEDDEV | $ 9,465,000 | $ 9,228,383 | $ - | $ 9,465,000 | $ 236,617 | 2.5% yet to received on project completion |
| PROVINCIAL | $ 1,500,000 | $ 1,350,000 | $ - | $ 1,500,000 | $ 150,000 | 10% to be released upon project completion |
| MAGNA | $ 1,000,000 | $ 1,000,000 | $ - | $ 1,000,000 | $ - | commitment fulfilled |
| ONTARIO TECH (Announce Contribution) | $ 500,000 | $ 500,000 | $ - | $ 500,000 | $ - | commitment fulfilled |
| ONTARIO TECH (Loan to ACE) | $ 2,510,000 | $ 2,510,000 | $ 178,294 | $ 2,510,000 | $ - | commitment fulfilled |
| THE GREENBRIAR FOUNDATION | $ 100,000 | $ 100,000 | $ - | $ 100,000 | $ - | commitment fulfilled |
| GA HAYBALL FOUNDATION | | $ 225,000 | $ - | $ 225,000 | $ - | commitment fulfilled |
| ACE INTERNAL (ERF/Research Fund) | | $ 165,000 | $ - | $ 165,000 | $ - | commitment fulfilled |
| ONTARIO TECH (Additional Loan to ACE) | | $ 349,696 | $ 140,342 | $ 1,060,595 | $ 710,899 | Additional funding approved |
| | | | | | | |
| Totals | $ 15,075,000 | $ 15,428,079 | $ 318,636 | $ 16,525,595 | $ 1,097,516 | |

## Uses of Funds - Cash Flow

| Description | Original Budget | Actual Total Todate | May 2021 | Estimate at Completion** | Variance / Cost Increase | Variance Explanation |
|---|---|---|---|---|---|---|
| Moving Ground Plane Integration into CWT | $ 3,350,000 | $ 5,553,791 | $ 86,027 | $ 6,331,276 | $ 2,981,276 | Obsolete controls, more complex turntable integration design and build. Repair to MGP & Turntable modifications. |
| Aerodynamic Enhancements Required for MGP | $ 2,540,000 | $ 2,336,835 | $ 194,211 | $ 2,316,795 | $ (223,205) | Value engineered design - ride height simplification |
| Acoustics | $ 845,000 | $ 709,606 | $ 2,381 | $ 782,225 | $ (62,775) | Competitive market & covid impact from Germany |
| Precision Measurement Capability | $ 1,850,000 | $ 1,086,588 | $ - | $ 1,086,588 | $ (763,412) | In-house design and build |
| Chamber Modifications | $ 630,000 | $ 706,655 | $ - | $ 706,655 | $ 76,655 | System requires more process air and vacuum |
| Base Building Modifications | $ 3,645,000 | $ 3,418,789 | $ - | $ 3,418,756 | $ (226,244) | Competitive market and deletion of Storage Building |
| Engineering and Project Management | $ 2,000,000 | $ 1,615,815 | $ 36,017 | $ 1,883,300 | $ (116,700) | Re-engineering contigency amount move to MGP Integration, 12 mos extension of Project team |
| | | | | $ - | | |
| Totals | $ 14,860,000 | $ 15,428,079 | $ 318,636 | $ 16,525,595 | $ 1,665,595 | |

# New Building Project



# Monthly Project Update
## MAY 2021

# New Building Update – weekly tracker

| A5 Building Construction Schedule Tracking | | | | | | |
|---|---|---|---|---|---|---|
| Work Description | Planned Start | Planned Completion | Actual Start | Actual Completion | Comment | Progress Tracking |
| Mechanical Room installation at 5F | Dec-04-20 | Jul-23-21 | Dec-04-20 | | Piping, instrumentations and electrical on-going | 🟩 |
| Metal Cladding system | Feb-08-21 | Jun-18-21 | Jan-19-21 | | Metal cladding install at southwest elevation | 🟩 |
| 4F Painting first coat | May-03-21 | May-20-21 | Apr-28-21 | | First coat painting on going | 🟨 |
| 3F Ceiling Installation | May-15-21 | Jun-26-21 | May-04-21 | | Ceiling Frame installation on going | 🟩 |
| 4F Ceiling Installation | May-18-21 | Jul-04-21 | May-18-21 | | Ceiling Frame installation on going | 🟩 |
| LL Floor Finishes | May-03-21 | Jul-28-21 | Apr-26-21 | | Carpet & Resilient floor completed, Washroom tiles and epoxy on going | 🟩 |
| 1F Floor Finishes | May-06-21 | Jul-06-21 | May-03-21 | | Carpet & Resilient floor completed, Washroom tiles on going | 🟩 |
| 2F Floor Finishes | May-12-21 | Jun-14-21 | May-10-21 | | Carpet, Epoxy & washroom tiles on going | 🟩 |
| 3F Floor Finishes | Jun-02-21 | Jul-16-21 | May-17-21 | | Carpet and washroom tiles on going | 🟩 |
| 4F Floor Finishes | Jul-02-21 | Jul-27-21 | May-24-21 | | Washroom tiles on going | 🟩 |
| 5F Floor Finishes | Jul-14-21 | Jul-27-21 | | | | 🟩 |
| Door and Hardware | | | | | Door installation on going at all levels | 🟩 |

# New Building Update

**Construction Achievements (31 May 2021)**

- Boarding and taping works at 4F-5F completed
- First coat painting at 3F completed, on-going at 4F
- Fire protection system at 5F completed, sprinkler heads on going
- Electro-mechanical rough-in completed, IT infrastructures on going
- Mechanical equipment installation at LL completed, 5F on going
- Exterior insulation & metal cladding on-going at south and southwest elevation
- Elevator installation on-going
- Carpet, ceramic tiles, epoxy & polishing concrete on-going LL to 3F
- Ceiling installation completed at LL, on-going at 1F to 3F
- Stone installation started at the north & west elevation
- Door and hardware installation commenced
- Piping connection to tunnel commenced

# Forecast Schedule

**Next Period Plan**

- Equipment and piping connection continues at 5F and Tunnel
- Electro-mechanical fixtures installation continues
- IT infrastructure installation continues
- Audio-Video and Surveillance System installation commence
- Floor and ceiling finishes continues
- Painting works continues
- Exterior wall finishes continues
- Elevator installation continues
- Procurement of owner's furnishing & equipment continues
- SPA amendments approval related to landscaping

**Overview**

- Building occupancy anticipated to be end August 2021
- Baseline schedule is currently on track
- Productivity closely monitored during this covid-19 situation

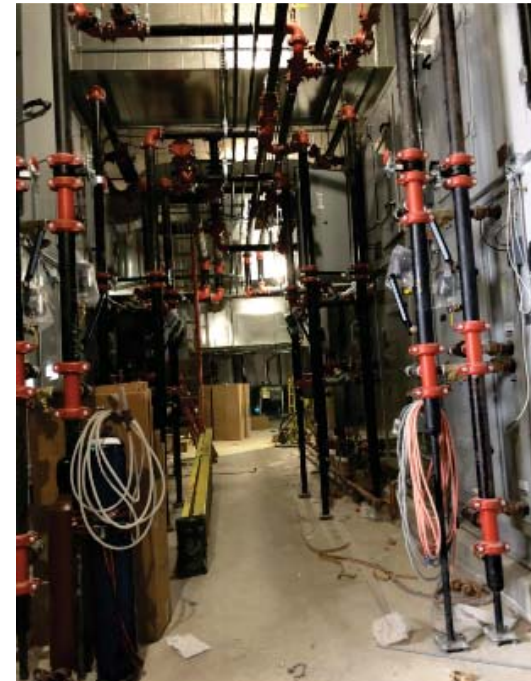Northeast Elevation


South Elevation


West Elevation

← 3F wall linking to ERC demolished

Mechanical room Louver installation →

← Tie-in connection at the Tunnel

5F Mechanical works →

← Classroom finishing works at 3F

Washroom at LL →

← Door & Hardware installation

Ceiling & Wall installation at 2F →

## Health & Safety

- No incidents since last report

## Change Control:

- Change Order #9, deletion of IT rack, $7.8K credit
- Change Order #10, add sink to 4F Nursing Studio, $41K

## Procurement Summary:

- Final Cleaning, awarded, Tri-Clean Building Services, $31K
- Donor Wall Display unit, procured, BAS Incorporated, $28K
- Telephone units, procured, Run DLJ, $20K
- UPS, procured, Encompass Power Solution, $21K

## Financial Summary:

- Total committed amount to date $46.2M
- Total project cash outflow to date $31.6M

# A&F Roll up Financial Summary as of 31 May 2021

| PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING | | | MAY 2021 | | | |
|---|---|---|---|---|---|---|
| **Sources of Funds - Cash flow** | | | | | | |
|  | Total Funding | Commited Todate | Actual YTD May 2021 | May 2021 | Required Funding till Completion | See Notes |
| Ontario Tech | $ 48,000,000 | $ 47,501,820 | $ 31,092,530 | $ 1,816,872 | $ 47,501,820 | |
| Business Enterprises | | $ 250,000 | $ 217,500 | $ - | $ 250,000 | |
| Foundations | | $ 195,000 | $ 195,000 | $ - | $ 195,000 | |
| Individuals | | $ 53,180 | $ 51,660 | $ 20 | $ 53,180 | |
| | | $ - | $ - | | $ - | |
| Totals | $ 48,000,000 | $ 48,000,000 | $ 31,556,690 | $ 1,816,892 | $ 48,000,000 | |
| **Uses of Funds - Cash flow** | | | | | | |
| Description | Total Budget | Commited Todate | Actual YTD May 2021 | May 2021 | Estimate at Completion | See Notes |
| GMP Contract | $ 39,996,403 | $ 40,155,380 | $ 28,177,197 | $ 1,786,885 | $ 40,147,309 | |
| FF&E | $ 3,246,505 | $ 2,207,071 | $ 16,002 | $ 8,716 | $ 3,246,504 | |
| Soft Cost | $ 1,940,732 | $ 1,706,025 | $ 1,325,618 | $ 21,291 | $ 1,865,476 | 1 |
| Portable Relocation | $ 1,738,512 | $ 1,747,102 | $ 1,721,058 | $ - | $ 1,721,058 | 2 |
| New Parking (50% sharing) | $ 327,848 | $ 327,848 | $ 316,815 | $ - | $ 316,815 | |
| Contingencies | $ 750,000 | $ 47,162 | $ 47,162 | | $ 702,838 | 3 |
| Totals | $ 48,000,000 | $ 46,190,588 | $ 31,556,690 | $ 1,816,892 | $ 48,000,000 | |
| | | | | | | |
| Notes: | | 1. Soft cost reduced | | | | |
| | | 2. U5 to remain beyond 2022, thus, removal cost (210K$) re-allocated to Contingency | | | | |
| | | 3. Contingecy amount to date with the addition of item 1 & 2 | | | | |

# Audit & Finance Committee

## 2020-2021 Annual Report

OntarioTech
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# 2020-2021 Work Plan

**Financial Statements 2020-21**
- Quarterly reporting & year-end financial reporting
- Credit rating update

**Audited Financial Statements 2020-21**
- Engagement Audit Plan
- Receipt of Pension Plan Audit Report
- Audited financial statements
- Receipt of Audit Findings Report
- Auditor performance review
- Debenture overview & updates

**Budget for 2021-22**
- Update on assumptions, targets & outcomes
- Enrolment updates
- 10-year financial model & forecasting
- Recommendation of 2021-2022 budget
- Recommendation of endowment disbursement

# 2020-2021 Work Plan

**Risk Management & Compliance**
- Progress updates for Risk Management, Privacy Compliance & Pension Governance
- URM Annual Report
- Annual governance review
- Annual Insurance Report
- Annual policy & compliance review

**Capital Projects & Acquisitions**
- New building project
- MGP updates
- AVIN updates

**Student fees**
- Recommendation of tuition & ancillary fees for 2021-2022

# 2020-2021 Work Plan

**Investment Committee Oversight**

- Receipt of quarterly reports

**Policy Development & Review**

- Statement of Investment Policies (SIP) & Asset Class Management Strategy review
- Freedom of Expression Annual Report
- Contract Management & Signing Authority Policy review update
- Controlled Goods
- President Expenses Approval Policy

# Accomplishments

**Terms of Reference**

- Reviewed committee Terms of Reference

**Financial & Audit**

- Committee reviewed & discussed quarterly reports, allowing for ongoing assessment of opportunities & risks
- Recommended RBC financing for new building for approval by the Board
- Conducted auditor performance review
- Recommended the maintenance of the Million Dollar Matching Fund
- Received credit rating update

# Accomplishments

**Financial & Audit (cont'd)**

- Audited financial statements for the university's Pension Plan were presented to the committee by KPMG

- Recommended disbursement of up to $775,000 from the Endowment Funds to be distributed as student awards in 2021-22

- Recommended increasing total project budget for ACE Enhancement from $15.075M to $16.525M for approval by the Board

- Recommended Audited Financial Statements for approval

- Recommended internally restricted funds for approval by the Board

# Accomplishments

**Policy**

Recommended to the Board of Governors for approval:

- Compliance Policy
- Controlled Goods Program Policy
- Radiation Safety Policy
- Signing Authority Policy

Approved:

- Expenditure Signing Authority Procedure
- Legal Commitments Signing Authority Procedure

# Accomplishments

**Investment Committee Oversight**

- Received quarterly reports from the Investment Committee
- Recommended amendments to the Statement of Investment Policies & approved amendments to Asset Class Management Strategy

**Budget for 2020-2021**

- Continued oversight of the 2020-2021 budget in light of the of the continuing high degrees of risk and uncertainty precipitated by the COVID-19 pandemic
- Recommended that the Board authorize the President to spend additional in-year revenues and savings, if any, toward strategic initiatives and those initiatives that mitigate future budget risk

**Budget for 2021-22**

- Recommended the 2021-22 budget for approval by the Board

**Student Fees**

- Recommended the 2021-22 tuition & ancillary fees amendments for approval by the Board

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# Accomplishments

**Risk Management & Compliance**

- Receipt of the second Freedom of Expression Policy Annual Report

- Oversight of the continued development of the University Risk Management (URM) framework

- Recommended the annual URM Report for receipt by the Board

- Continued oversight of privacy and compliance

**Strategic Discussions:**

- Fiscal Sustainability

- Alternate Sources of Revenue

# In Progress

**Budget**

- Cash management & forecasting

**Financial**

- Continued oversight of the university's debenture strategy

**Risk Management & Compliance**

- Continued development of URM program
- Implementation of University Continuity Management Policy & program
- Continued oversight of university's compliance program
- Continued oversight of university's insurance program

**Contracts**

- Implementation of the Contract Management & Legal Suite systems

# In Progress

**Policy Development & Review**

- Continued oversight of policy development & implementation of Policy Framework

**Records Management**

- Continued oversight of implementation & development of Records Management System

# Future Planning

**Audit**

- Annual Assessment of External Auditor

**Investment**

- Implementation of the integration of the Investment and Audit & Finance Committees
- Continued oversight of the investment of the university's endowment funds

**Capital Projects**

- Support the transition of oversight of capital projects to the Strategy & Planning Committee

# Future Planning

**Risk Management & Compliance**

*Privacy*

- Development of Privacy Policy Framework

*Legislative Compliance*

- Oversight of University's AODA & CASL compliance initiatives
- Oversight of Controlled Goods Program

*Records Management*

- Oversight of implementation & development of Records Management System

# Future Planning

**Policy**

- Development of President Expenses Approval Policy
- Review of Research Ethics Policy
- Review of Procurement Policy
- Review of Health and Safety Policy

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# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
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| Public | ☐ | Decision | ☐ |
| Non-Public | ☐ | Discussion/Direction | ☐ |
| | | Information | ☒ |

TO:          Board of Governors

DATE:        June 24, 2021

FROM:        Audit & Finance Committee

SUBJECT:     Annual Insurance Report

## COMMITTEE MANDATE:

- The Audit and Finance Committee (A&F) has responsibility for finance and risk management.  In support of this mandate, the Committee receives for consideration an Annual Insurance Report.

- This is an opportunity for the Board to consider the adequacy of the university's insurance program.

## BACKGROUND/CONTEXT & RATIONALE:

- The university insurance program is overseen by the University Secretary and General Counsel with the assistance of the Director of Risk Management.

- Appropriate insurance and ongoing monitoring of the portfolio is a key component of effective risk management.

- The insurance update presented on June 17, 2020, to the A&F committee outlined the insurance objectives for 2020-21, which included the ongoing development of insurance related tools, applications, and educational resources.

- The University Secretary and General Counsel (USGC) has made good progress against these objectives as set out in the seventh Draft Annual University Risk Management Report.

## PROPOSED PROCESS

- The USGC will continue to work through the 2020-21 objectives and provide updates to the committee.

- The USGC will develop and deliver to the committee an Insurance Work Plan for the 2021-22 academic year.

## COMPLIANCE WITH POLICY/LEGISLATION:

- Article 13.1 of the university's By-law No. 1 provides for the indemnification of Governors and employees, and further protection of governors is stipulated under Article 13.2.  The insurance coverage provided supports these legal requirements.

## NEXT STEPS:

- Board to review the attached Confidential Annual Insurance Report and comment on the adequacy of the insurance portfolio.

## SUPPORTING DOCUMENTATION

- Confidential Attachment #1 – Confidential Annual Insurance Report
- Confidential Attachment #2 – Insurance Layering Diagram

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**BOARD REPORT**

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| **SESSION:** | | **ACTION REQUESTED:** | |
| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☒ |

**TO:** **Board of Govenrors**

**DATE:** **June 24, 2021**

**FROM:** **Audit & Finance Committee**

**PREPARED BY:** **Cheryl Foy, University Secretary and General Counsel**

**SUBJECT:** **Compliance Update**

**COMMITTEE MANDATE:**

- The Audit and Finance Committee is responsible for overseeing university compliance, risk management, and other internal control functions at the university.
  This oversight includes receiving regular reports from management on areas of compliance work undertaken as the University works toward the development of a comprehensive compliance framework.

**BACKGROUND/CONTEXT & RATIONALE:**

The purpose of this report is to provide the committee with an update on the status of the following areas of compliance work: 1) Ethical Conduct Policy implementation; 2) *Accessibility for Ontarians with Disabilities Act* (AODA); 3) Copyright; 4. Information Governance; 5. *Occupational Health and Safety Act*, and; 6. Controlled Goods.

**1. Ethical Conduct Policy Implementation:**

Work has continued to support the university's Ethical Conduct Policy framework. Guidance and reporting forms are currently under development.

**2. AODA Compliance Work:**

The Office of the USGC coordinates the university's AODA compliance. This compliance work is done by a cross-functional Accessibility Working Group (AWG). Two subcommittees (described below) currently work within the auspices of the AWG on specific areas of compliance.

Communications & Marketing is coordinating and supporting the university's compliance efforts in respect of section 14 of the *Integrated Accessibility Standard Regulation*, namely the requirement to conform with the World Wide Web Consortium Accessibility Guidelines (WCAG) 2.0 Level AA across all institutional public websites and web content, which includes content across all social media channels.

The Accessibility Working Group (AWG) has been notified about the Accessibility Compliance Report that is required to be filed with the Ministry of Seniors and Accessibility on or before December 31, 2021. Work is underway to ensure that those responsible for compliance are aware of and can attest to compliance with the applicable requirements.

The AWG recently completed the institution's Annual Status Report for the reporting period of May 1, 2020 through to April 30, 2021. The Annual Status Report is a legislative requirement reporting on the institution's progress as it relates to the Ontario Tech Multi-Year Accessibility Plan 2020-2025. Publishing of the report on the university's public-facing website will happen in June 2021.

**The AWG Education Subcommittee:** The Education Subcommittee (led by the Teaching & Learning Centre) has been working on an institutional training initiative that will be undertaken by the university to comply with the sections 7 & 16 training requirements under the *Integrated Accessibility Standard Regulation*. The University will be providing accessibility training on Ontario's six accessibility standards, along with additional training on how the *Accessibility for Ontarians with Disabilities Act* works with the *Human Rights Code*. In addition, educators will be provided targeted training related to accessible program or course delivery and accessible instruction. It is anticipated that the training will be available within the next few weeks through the university's learning management system, Canvas Catalogue. All University employees, policy developers, 3rd party service providers and volunteers (including governors) will be required to update their accessibility training no later than November 1, 2021.

The Education Subcommittee is in the process of updating the university's accessibility website to an "Accessibility Hub". The Accessibility Hub will be a central resource for all accessibility-related resources, information, training, and support requests at Ontario Tech University. Policies, procedures, general information, best practices and training resources will be available in a needs-based format. The Accessibility Hub will serve as an inclusive space to educate, support, integrate and celebrate people of all abilities at the university.

**The AWG Procurement Subcommittee:** The Procurement Subcommittee is currently reviewing the university's procurement policy, procedures, agreements and evaluation practices to ensure that the products and services procured by the university for its

employees and students meet the requisite AODA standards and that these standards are considered and evaluated during the procurement process. Recommendations are currently being prepared to support the development and/or enhancement of current processes and/or practices.

### 3.  Copyright Compliance:

The university continues to refresh its copyright compliance framework. Three subcommittees have been formed under the cross-functional Copyright Advisory Committee.  These committees will address improved copyright compliance in the areas of: policy, training and IP protection.  The subcommittees have met over the last 3 months to review each area in detail with a view to providing recommendations to the Provost.  Subcommittee members are currently in the process of finalizing recommendations for inclusion in the final recommendations report.

### 4.  Information Governance:

Recognizing the importance of having an information governance strategy and plan, the USGC has undertaken to facilitate this work.  Given the shared IT systems, Ontario Tech must work closely with Durham College (DC).  To date, DC IT has shared a draft of their information security roadmap 2021-2026 with Compliance and IT.  University activities have been scheduled into DC's planned information security activities, and will be reviewed with the information governance working group in the coming weeks. Feedback has been requested by DC to finalize the draft.  Once a commitment has been secured with DC, the university's final draft information governance road map will be reviewed with the Audit & Finance Committee.  This governance road map will be the foundation document for the university's information and data management project planning.

### 5.  *Occupational Health & Safety Act* Compliance Review:

A compliance review has commenced to assess the university's compliance with the *Occupational Health & Safety Act*.  The review is currently in the information-gathering and assessment stages.

### 6.  Controlled Goods:

The Controlled Goods Program Policy was approved at February's Audit & Finance committee meeting.  The Vice President of Research is the policy owner and the Office of Research Services (ORS) has continued to build the supporting processes and procedures to support compliance.  Security assessments for two additional Designated Officials have been submitted and are pending approval with the Controlled Goods Directorate (CGD).  Updates to the institution's registration, Authorized Individual, and institutional training have been completed in draft and will be finalized post CGD approval of the Designated Officials.  Procurement policies have been reviewed and revised in draft.

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**BOARD REPORT**

| **SESSION:** | | **ACTION REQUESTED:** | |
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| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☒ |

**TO:** Board of Governors

**DATE:** June 24, 2021

**FROM:** Audit & Finance Committee

**PREPARED BY:** Cheryl Foy, University Secretary and General Counsel

**SUBJECT:** Compliance - Policy Update

**COMMITTEE MANDATE:**
- The Audit and Finance Committee is responsible for overseeing compliance and 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 compliance and regulatory matters, as well as policy development and approvals at the university, in accordance with the Policy Framework. Policies are a key compliance tool.

**BACKGROUND/CONTEXT & RATIONALE:**
- The purpose of this report is to provide the committee with an update on the status of policy development and privacy compliance activity being undertaken by the Office of the University Secretary and General Counsel (USGC).
- The university's Policy Framework was first approved in November 2014. The implementation of the Policy Framework has been a change management project. The project has necessitated educating the community not only on a new set of consultation, review and approval processes, as well as on the importance of policies for efficiency and communication across the university.
- We have seen a very positive response, as people recognize that effective policies improve efficiency and communication across the university. At the outset, our community identified many gaps in existing policies, including non-existent policies, local policies that should extend to the university as a whole,

overlapping policies and poorly worded policies. It has taken focused work over the course of years to address many of those gaps, including:
- o Recognition of academic regulations as policy instruments
- o Formal policy instruments for institutional quality assurance processes
- o Risk management policy instruments for the use of space, unmanned aircraft, volunteers, and travel
- o Appointment policy instruments for senior administrators
- o Payment Card Industry compliance and information security policies

- We have seen a lot of policy activity over the past year, in reviewing and improving existing policies (Academic Integrity Policy), filling gaps with new policies (Ethical Conduct Policy), and adapting to new and changing compliance requirements (Controlled Goods Policy/Radiation Safety Policy).
- The USGC continues to identify and address policy gaps with implications for regulatory compliance. For the next year we have identified gaps in our privacy policies. We will be working on a framework of instruments to support compliance with relevant legislation. A focus on privacy is important in the context of greater remote work/hybrid learning arrangements, where a principled, consistent approach to adopting new technology systems, processes and methods in a privacy protective manner is required.
- SLT has indicated that they would like to take a more active role in setting priorities for policy projects. For that reason, we will be reporting quarterly to SLT on policies that have come before the Policy Advisory Committee for assessment.

### *Policy Update*

- Over the period June 1, 2020 to May 31, 2021, 39 new or amended policy instruments have been approved in accordance with the Policy Framework, consistent with 39 in the prior year.
- The USGC continues to support a variety of policy projects, including supporting the amendment of the Signing Authority Policy and Register and Workplace Violence policies.
- The USGC will be deferring its review of the Policy Framework, scheduled for this year. Adoption and adherence to the Policy Framework over the past three years has been high, with many policy gaps addressed. We will, instead, conduct a review of the processes for identifying policy gaps and providing support to projects to fill those gaps. The goal is to help the university to commit its resources toward policy projects that support compliance initiatives and/or target identified priorities of the Senior Leadership Team.
- The tables below track support of policy instrument development provided by the Office of the University Secretary and General Counsel. Table 1 tracks policy support provided over the past six years. Table 2 identifies the unit responsible for the policy being supported over the past year.

**TABLE 1: Overall Policy Support 2015-16 to 2019-20**

| Year | Drafting | Recommendations | Advice |
|---|---|---|---|
| 2015-16 | 17 | 23 | 18 |
| 2016-17 | 6 | 11 | 5 |
| 2017-18 | 8 | 28 | 29 |
| 2018-19 | 23 | 35 | 42 |
| 2019-20 | 18 | 54 | 10 |
| 2020-21 | 21 | 11 | 25 |

**TABLE 2: Policy Support by Unit June 1, 2020 to May 31, 2021**

| Unit | Drafting | Recommendations | Advice |
|---|---|---|---|
| University Secretary and General Counsel | 21 | | |
| Student Life | 1 | | 1 |
| Research Services | 1 | | 2 |
| Centre for Institutional Quality Enhancement | | 1 | 5 |
| Finance | | 2 | 1 |
| Human Resources | | 3 | |
| Graduate Studies | | | 9 |
| Registrar's Office | | 1 | 2 |
| Teaching and Learning | | 3 | 2 |
| Provost's Office | 2 | 1 | 2 |

**SUPPORTING DOCUMENTS:**

- Schedule A List of Policy Instrument approvals

## Schedule A: Policy Instrument Approvals

### April 1 to June 1, 2021

- Accommodation Policy (Board approved April 22, 2021)
- Controlled Goods Program Policy (Board approved April 22, 2021)
- Respectful Campus Policy (Board approved April 22, 2021)
- Respectful Campus – Employee Harassment and Discrimination Procedures (Board approved April 22, 2021)
- Academic Council Election Procedures (April 20, 2021)
- Academic Council Vice-Chair Selection Procedures (April 20, 2021)
- 

### February 1 to April 1, 2021

- Compliance Policy (Board approved February 25, 2021)
- COVID-19 Face Coverings Directive (Provost approved March 22, 2021)
- Doctoral Candidacy Examination Policy (AC approved February 23, 2021)
- Graduate Project or Major Paper Evaluation Policy (AC approved February 23, 2021)
- Graduate Student Supervisory Committee Policy (AC approved February 23, 2021)
- Graduate Submission of Thesis, Project or Major Paper Policy (AC approved February 23, 2021)
- Thesis Oral Examination for Master's and Doctoral Candidates (AC February 23, 2021)

### November 1, 2020 to January 31, 2021

- Volunteer Policy (November 11, 2020)
- Volunteer Procedures (November 20, 2020)
- Academic Integrity Policy (November 24, 2020)
- Academic Integrity Violation Procedures (November 24, 2020)
- Virtual Proctor System Directives (November 24, 2020)
- Missing Student Procedures  (January 12, 2021)

### June 1, 2020 to October 31, 2020

- Closure of a Faculty, School or Degree Program (June 23, 2020)

- Procedures for Consideration of Missed In-Term Course Work and Examinations (June 23, 2020)
- Ethical Conduct Policy (June 23, 2020)
- Procedure to Address Conflicts of Interest (June 19, 2020)
- Gift Registry Procedures (June 19, 2020)
- University Investigation Procedures (June 19, 2020)
- Procedures for Final Examination Administration (June 23, 2020)
- Final Examination Chief Proctor Directives (June 23, 2020)
- Final Examination Emergency and Disruption Directives (June 23, 2020)
- Graduate Admission and Application Requirements Policy (June 2, 2020)
- Graduate Admission Categories and Decisions Policy (June 2, 2020)
- Graduate Equity Diversity and Inclusivity and Non-Standard Admission Policy (June 2, 2020)
- Graduate Program Changes and Program Transfers Policy (June 2, 2020)
- Institutional Quality Assurance Process Policy (June 23, 2020)
- Curriculum Change Procedures (June 23, 2020)
- Cyclical Program Review Procedures (June 23, 2020)
- New Program Procedures (June 23, 2020)
- Program Closure Procedures (June 23, 2020)
- Policy Framework (June 25, 2020)

**BOARD REPORT**

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| **SESSION:** | | **ACTION REQUESTED:** | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☒ |

**TO:**      **Board of Governors**

**DATE:**      **June 24, 2021**

**FROM:**      **Audit & Finance Committee**

**PREPARED BY:**      **Cheryl Foy, University Secretary and General Counsel**

**SUBJECT:**      **Compliance - Privacy Update**

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**COMMITTEE MANDATE:**
- The Audit and Finance Committee is responsible for overseeing compliance and 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 compliance and regulatory matters. Privacy is an active compliance portfolio from several perspectives: requests for access to information, advising on privacy obligations and interpretation of the legislation, and managing and investigating alleged privacy breaches.

**BACKGROUND/CONTEXT & RATIONALE:**
- The purpose of this report is to provide the Board with an update on the status of privacy compliance activity being undertaken by the Office of the University Secretary and General Counsel (USGC).
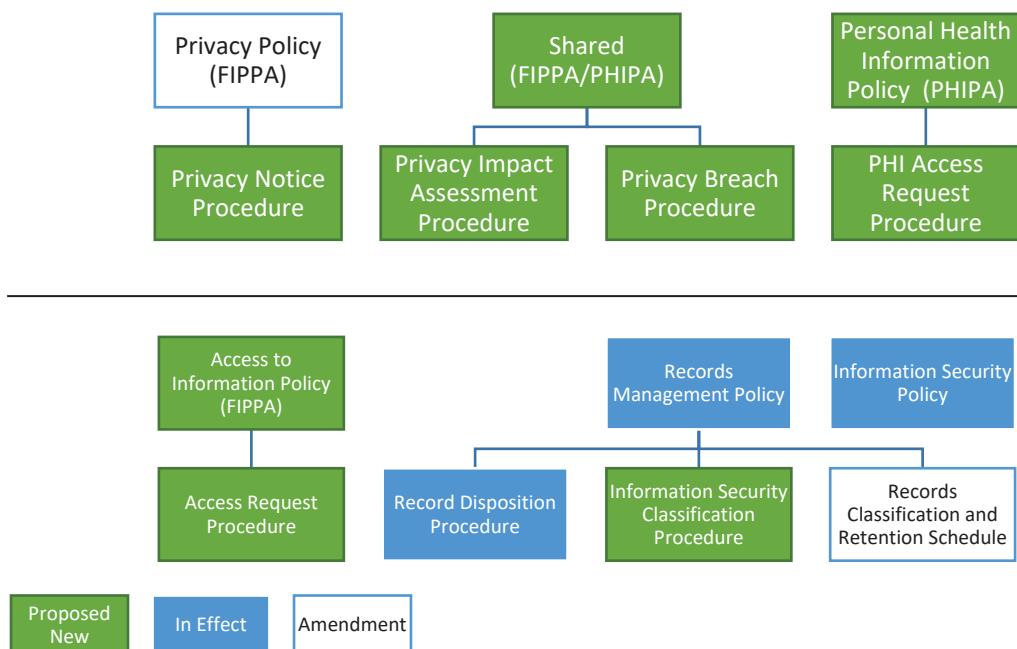
**Privacy Compliance Review**

- The Privacy Office has been very engaged in supporting the university's COVID response and the associated move to online teaching and work. The use of new software tools to assist online work has necessitated the development and implementation of a privacy impact assessment process. The Privacy Office

continues to conduct these assessments and anticipates a continuing need in this area.

- Because there has been no recent review, and because of gaps identified through the privacy impact assessments conducted by the Privacy Office, the USGC will be undertaking a review of its privacy program and privacy policies, based on the Generally Accepted Privacy Principles (GAPP). The GAPP review will identify gaps in privacy policy and practice, and identify processes which are currently being performed but are not documented in policy and procedure.
- We will also be developing a framework of Privacy Policies. The contents of these policy instruments will be informed by GAPP and an updated analysis of FIPPA, PHIPA and guidance from the IPC. Specifically, the IPC has released guidance on conducting a PIA, addressing Privacy Breaches, and ensuring the privacy of Personal Health Information. Draft policy instruments will be reviewed by the Compliance Office for compliance with FIPPA and PHIPA. The following framework of policy instruments is proposed:

**FIGURE 1: Proposed Privacy Policy Instrument Framework**



## Annual Privacy Compliance Activity

- IPC requires annual statistical reporting in February of each year. A report of our 2020 calendar year Annual Privacy Compliance Activity was provided at the February 17 meeting, in connection with the annual statistical reporting.
- This year to date, we have processed 1 request for personal information, 2 requests for general information, and conducted 6 privacy breach investigations.

# Investment Committee

## 2020-2021 Annual Report

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# 2020-2021 Work Plan

## MANDATE-DRIVEN PRIORITIES

**Investment**
- Quarterly investment reviews
- Portfolio performance management
- Investment learning on topical subjects
- PH&N annual report on ESG
- Statement of Investment Policies & Asset Class Management Procedures (annual review)
- Annual Investment Manager performance review
- Endowment disbursement recommendation & receipt of annual Endowment Report
- Review of Endowment Policy

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# Accomplishments

**Terms of Reference**

- Review of the committee Terms of Reference.

**Investment Reviews**

- PH&N Investment Manager ("PH&N") provided the Committee with detailed reporting & review on a quarterly basis.

**Investment**

- Reviewed Asset Class Management Strategy.
- Strategic discussions focused on the Future Investments Strategy.
- Reviewed & recommended amendments to Statement of Investment Policies to streamline processes & provide investment manager with greater flexibility.

# Accomplishments

**Responsible Investment Policy**

- Committee received & reviewed PH&N's annual report on ESG.

**Endowment**

- Recommended disbursement of up to $775,000 from the Endowment Funds to be distributed as student awards in 2021-22.

**Investment Learning**

- Educational presentations on several topics, including:
  - University Investment Landscape

# Future Planning

**Review of Quarterly Investment Reports**

- Continue to analyse investment reports, and make timely reallocations to maximize portfolio effectiveness.

**Investment**

- Conduct annual performance review of Investment Manager.

- Review of Endowment Policy.

- Continued timely educational sessions for the Committee.

# Governance, Nominations & Human Resources Committee (GNHR)

## 2020-2021 Annual Report

**OntarioTech**
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# 2020-2021 Work Plan

**MANDATE-DRIVEN PRIORITIES**

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

**Board Professional Development & Education**
- PD work plan

**Human Resources**
- Annual Pension Plan Report
- Collective bargaining

# 2020-2021 Work Plan

**Governance**

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

# 2020-2021 Work Plan

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

# Accomplishments

**Board Recruitment & Nominations**

- Appointed external governor to Academic Council for 2020 -2021.
- Engaged in process to appoint two new governors.

**Board Professional Development & Education**

- Developed annual PD work plan.
- Joint orientation for new governors and Academic Council in September and October 2020.
- New governor orientation in February 2021.
- Board and Committee Chairs PD session in September 2020.
- Optional PD sessions with SLT members: *Asking Strategic Questions; The Price of Learning/Learning the Price; The Provost Primer*

# Accomplishments

**Board Professional Development & Education**

- OnBoard portal training sessions with new governors.
- PD sessions: *Ontario Tech Talent*; *Equity, Diversity & Inclusion; and Research Presentations*

**Governance**

- Review of Board committee structure & recommended merger of Investment and Audit & Finance Committees.
- Reviewed committee Terms of Reference & recommended updates.
- Engaged in strategic discussions on: Mental Health in the Time of COVID; Strategic Goals for Board Governance EDI Strategy;
- Conducted annual Board Practices Assessment & Committee Practices Assessment.

**Engagement with Durham College Board of Governors**

- Coordination of joint meetings with the executive members of the DC Board

# Accomplishments

**Policy Work:**

- Recommended approval of: Accommodation Policy and Respectful Campus Policy
- Approved Procedures to Prevent and Address Discrimination and Harassment By or Against Employees
- Recommended amendments Board of Governors Recruitment, Appointment and Leadership Policy and By-law No. 1
- Approved amendments to Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors

**Human Resources**

- approved the establishment of a salary cap for the new role of the Vice-President, Administration.
- Approved collective bargaining mandates for the University of Ontario Institute of Technology Faculty Association and Public Service Alliance of Canada (PSAC), Local 555
- Oversight of university's labour relations & human resources.

# In Progress

**Governance**

- Development of Board Governance EDI strategy.

- Continued implementation of By-law Nos. 1 & 2, which came into effect in September 2018.

- Continued oversight of OnBoard portal implementation, which was introduced in March 2019.

- Continued improvement of Board engagement.

- Continued focus on Board meeting efficiency, materials preparation & professional development.

# In Progress

**Policy**

- Continued oversight of implementation of the Student Sexual Violence Policy and Procedures.

- Oversight of Policy Against Violence, Harassment and Discrimination in the Workplace 2018-2019.

# Future Planning

**Equity, Diversity & Inclusion**

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

**Board Composition & Succession**

- Continued development of strategic succession plan.

**Board Professional Development & Education**

- Further development of strategies to encourage Board engagement.

- Update standardized governor orientation & educational material for new governors.

- Continued incorporation of technology into Board meeting participation & educational material.

**General Governance**

- Continue to strengthen bicameral governance.

- Strengthen community engagement.

# Future Planning

**Policy Work:**

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

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# BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☐ |
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| | | **Information** | ☒ |

**TO:**      **Board of Governors**

**DATE:**      **June 24, 2021**

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

**SLT LEAD:**      **Lori Livingston, Provost and VP, Academic**

**PREPARED BY:**      **Sarah Rasile, Director, Student Success**

**SUBJECT:**      **Annual Report on Student Sexual Violence Policy Implementation**

## COMMITTEE MANDATE:

GNHR is responsible for the oversight of and providing advice to the Board on matters concerning the university's human resources policies, strategies and plans.

This report provides data and information on measures that have been taken in 2020-21 related to sexual violence prevention and support at Ontario Tech University.

## BACKGROUND/CONTEXT & RATIONALE:

Bill 132, Sections 17 (7) and (7.1) state that universities are to provide their Board of Governors with an annual report that contains the following information:

1. The number of times supports, services and accommodations relating to sexual violence were requested and obtained by students enrolled at the university, and information about the supports, services and accommodations.

2. Any initiatives and programs established by the university to promote awareness of the support and services available to students.

3. The number of incidents and complaints of sexual violence reported by students, and information about such incidents and complaints.

4. The implementation and effectiveness of the policy.

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

The data and strategies outlined in the report are aimed at advancing the university's commitment to maintaining a healthy and safe environment for work and study.

**CONSULTATION:**

Data and information for this report was provided by Student Mental Health Services, the Office of Campus Safety, Student Engagement and Equity, the Human Rights Office and Human Resources as these units oversee the provision of support, training and programming related to the implementation of the Student Sexual Violence policy and procedures. In addition, the data and information was discussed by the Advisory Committee on Student Sexual Violence Prevention and Support at its meeting on May 17, 2021.

**COMPLIANCE WITH POLICY/LEGISLATION:**

In accordance with Bill 132, Section 17 (7) and (7.1), the following information is being provided for the Board's information:

**1.    Supports, services and accommodations:**

- Five Support Workers, through the university's Student Mental Health Services, provide assistance and accommodations to students who have experienced sexual violence. Since the closure of the university due to the pandemic, all support is being provided at a distance, by telephone or through video-conferencing. All counsellors participate in ongoing training in trauma-informed therapy and have experience working with survivors of sexual assault. In addition, an Outreach Worker in the residence works very closely with the Support Workers in providing onsite support for students living in residence.

- From April 1, 2020 to March 31, 2021, Support workers received 47 disclosures from students who have experienced sexual violence, including recent incidents that may have occurred on or off campus, and those that occurred historically or during childhood.

- All students received additional support and accommodations, including the coordination of any or all of the following:

  o Therapeutic support (41 students)
  o Academic accommodations (12 students)
  o Housing accommodations (0 students)
  o Other forms of support, such as referrals to community supports, other campus services, or advocacy groups (14 students)
  o Formal university investigation (1 student)

- Within the institution, the following offices were consulted in the provision of support and accommodations: Student Accessibility Services, Campus Safety, Legal Counsel, Campus Living Centre, International Education, Student Awards and Financial Aid**,** Human Resources and several academic advisors and Deans.

2.    **Awareness and programming**

In 2020-21, efforts to raise awareness and educate students about the policy, supports and services were largely driven by the student members of the Advisory Committee on Student Sexual Violence Prevention and Support in collaboration with the Student Engagement and Equity team in Student Life. Initiatives to raise awareness and educate on sexual violence included:

- **Equity Advocates:**  Seventeen student ambassadors took on the role of Equity Advocates this year working as a team to identify opportunities to expand equity programming on campus. They create their own program goals and outcomes; and develop and facilitate initiatives, campaigns and events that encourage students to act more inclusively. This year, the Equity Advocates developed initiatives to address gender equity such as articles highlighting influential women and a video where students share what feminism means to them.

- **16 Days of Activism Against Gender-Based Violence**:  From November 25, to December 10, Ontario Tech worked in collaboration with Durham College to host a campaign for 16 Days of Activism. The campaign helped students, staff and faculty learn more about gender-based violence prevention. The program included a speaker, discussion group, social media content, and a call to action, asking members of the university community to share what they will do to contribute to ending gender-based violence. In total, we had over 180 people engage with the campaign.

- **#WeGetConsent:** The #WeGetConsent campaign continued this year with several initiatives to educate students on consent and sexual violence prevention. Programming included a social media campaign, blog posts, a pledge asking members of the university community to share what they will do to contribute to a culture of consent and an interactive theatrical performance around the theme of consent during September Orientation programming.

- **#LetsTalkSex Workshop Series**: New this year, emerging from feedback from the Advisory Committee on Student Sexual Violence Prevention and Support, a series of sex-positive and sexual health workshops were delivered to help students feel more comfortable having conversations about consent. These workshops were provided through a collaboration with the AIDS Committee of Durham Region and included topics such as HIV 101, destigmatizing sex, harm reduction practices and exploring your body.

- **Staff and Faculty Training:**  Online training modules are available for faculty and staff to provide information about the sexual violence policies and procedures, and the supports for employees and students who experience, or witness, sexual violence. For 2021-2022, the university will be bringing together a committee to create an overarching training intended for all members of the university community that will be supplemented by additional training designed for specific audiences.

- **Consent Matters: A Forum Theatre Production:**  As part of the September Orientation programming, students participated in a virtual theatrical production that leads students through the fictional lives of three students who are beginning their first year at university. The play focusses on the social aspects of being a university student including dating and relationships, partying, academics and sexual violence. This interactive play gave students the opportunity to identify behaviours that were unacceptable and practice bystander intervention strategies in real time. A de-brief after the play focused on identifying the sexual violence supports available to students at the university, recognizing by-stander intervention strategies as they relate to sexual violence, identifying victim blaming and supportive responses to disclosures of sexual violence, observing how consent relates to everyday life and to sexual activity and recognizing the many aspects that contribute to the existence of rape culture. This year we had over 150 students participate in the play.

- **RISE: Sexual Violence Prevention**:  755 students participated in the Respect Inclusivity and Support Equity (RISE) program with 30 students participating in supplementary workshops on sexual violence. The RISE program is a series of workshops focusing on the development of by-stander intervention strategies. All students who take on the peer leadership role of Ambassador are required to complete the general RISE session providing them with tools to intervene, prevent and address individual discrimination and harassment. This supplementary workshop focuses specifically on practical issues related to consent, gender-based violence and sexual violence, and preventing and responding to sexual violence in our community.

- **Disclosure Training: Supporting Survivors of Sexual Violence**:  This training was offered twice to the general student population and a total of 24 students participated. This workshop provides an overview of sexual violence, reviews the on-campus resources available to survivors and helps students develop effective and supportive responses to victims and survivors who disclose having experienced sexual violence.

- **Community Partnerships**: The Student Engagement and Equity team worked with several community partners this year to offer the Ontario Tech community engaging educational programming related to sexual violence prevention and support. The collaborations included a webinar on understanding the legal definitions of consent with the Sexual Harassment and Assault Resource Exchange (SHARE), the #Let'sTalkSex workshop series with the AIDS Committee of Durham Region and a panel event with the Durham Rape Crisis Center.

3.    **Reported incidents and complaints**

- Of the 47 disclosures that were reported to the Support Workers, 1 was filed as complaints through the formal university procedure, and 0 were reported to the Durham Regional Police.

- 16 incidents were classified as having occurred in the last 12 months; 31 were classified as historical, and of these, 8 incidents occurred during childhood.

- 29 incidents involved sexual assault (ranging from unwanted sexual contact to rape); 3 incidents involved verbal sexual harassment or threatening behaviour; 14 involved both sexual assault and verbal assault or threatening behaviour.

- 9 incidents were perpetrated by romantic partners; 17 were perpetrated by friends or neighbours; 11 were perpetrated by family members; (landlord/property manager - 3, manager/supervisor - 4, faith leader - 1, coworker -2 , roommate - 1, lawyer -1,OTU student 1, OTU employee - 1 and 4 were perpetrated by persons unknown to the complainant, with some students disclosing more than one incident. The remaining were classified as "Other," such as a student at another institution or individual in the local community. The sum differs from 47 due to multiple victimizations for some students.

- 1 incident occurred on campus; 46 incidents occurred off campus. We have disclosures provided by 47 students which may include many - at times repeated - victimizations. Out of these, 1happened on campus.

- The Human Rights Office was involved with 11 issues of potential sexual violence
    - 3 disclosures
    - 7 reports (of the 7, 4 relate to the same incident)

**4.      Implementation and effectiveness of the policy and support services**

The Advisory Committee on Student Sexual Violence Prevention and Support, established in December 2017, is mandated to ensure that the university's policies on sexual violence, and the support services, programming and training that sustain these policies, are reviewed on a regular basis and continuously improved upon. This year, the Committee was composed of 9 students, 2 faculty, a representative from the Ontario Tech Student Union, 6 staff from across the university, 1 community partner and 1 alumni.

In spring 2020, the Committee participated in a planning session where time was spent identifying possible policy, procedural and programmatic gaps. Based on recommendations from this session, the following actions were taken over the last academic year:

- A comprehensive review of the anonymous disclosure procedure available to both current and past Ontario Tech students resulting in the creation of a new online process and updated website content.
- Lengthy conversations about the competing role of the Case Manager as defined in the policy resulting in the creation of a new Gender-Based Violence Education and Support role
- A review of the mandate and membership of the Sexual Violence Response Team. A small working group is working to finalize the recommendations and create a Terms of Reference for inclusion with recommended policy and procedural changes in 2021-2022

A report from the Committee, summarizing its work along with any recommendations on policy amendments and other improvements, is in development and will be submitted to the Provost by December 2021.

**NEXT STEPS:**

The Advisory Committee on Student Sexual Violence Prevention and Support will continue to advise and assess the university's efforts to oppose sexual violence among students on campus through support, training and education.

**SUPPORTING REFERENCE MATERIALS:**

- Advisory Committee on Student Sexual Violence Prevention and Support – Terms of Reference https://studentlife.uoit.ca/sexualviolence/policy.php#tab1-4
- Sexual Violence Support and Education Website https://studentlife.uoit.ca/sexualviolence/index.php
- Student Voices on Sexual Violence Climate Survey https://ontariosuniversities.ca/student-voices-on-sexual-violence-survey

# Strategy & Planning Committee (S&P)

## 2020-2021 Annual Report

OntarioTech
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# 2020-2021 Work Plan

## MANDATE-DRIVEN PRIORITIES

**Strategic & Planning Oversight**
- Review of university's vision, mission & values
- Integrated Planning
- Strategic risk
- Student success
- International strategy
- Research strategy
- Standard & strategic indicators
- Academic programming
- COU/UC strategic initiatives
- Board Retreat planning

**Advancement**
- Million Dollar Matching Fund & Board of Governors' Awards Program
- Endowment disbursement
- Campaign oversight
- Alumni engagement strategy

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# Accomplishments

**STRATEGIC OVERSIGHT**

- Oversight & recommendation of the university's refreshed vision, mission & values.

- Review of committee's Terms of Reference.

- Oversight of university's strategic planning metrics

- Oversight of identification & assignment of university's key strategic risks.

- Oversight of university's student success strategies.

- Engaged in strategic discussions regarding: Blended Learning, Student Success Initiatives, Sticky Campus – Post-COVID 19, and Academic Programming.

# Accomplishments

**PLANNING OVERSIGHT**

- Oversight of the update of the university's Integrated Plan.

**Board Retreat:**

- Planning & oversight of the retreat held May 13, 2021 - focused on:
  - laying the foundation for strategic change;
  - improving governors' understanding of:
    - how universities are changing their approach to learning and to changing their "reach";
    - the expectations and assumptions around learning of the next generation of students, and;
    - current Academic Council approach to changes in learning and technology in learning.
  - helping identify:
    - the values that should guide a student centred approach;
    - what might differentiate Ontario Tech's approach;
    - the cultural foundations for change; and
    - the socio-economic implications of pedagogical change for students.

# Accomplishments

**ADVANCEMENT**

- Maintenance of Million Dollar Matching Fund.
- Recommended the disbursement of up to $775,000 from the endowment funds to distribute as student awards for the 2021-2022 year.
- Oversight of Women in Stem initiative and Pi-Day of Giving
- Oversight & encouragement of governor engagement in advancement, alumni, and campaign planning activities (e.g. Pi Day events, Chancellor's Challenge, ACE Experience).
- Support of Board of Governors Awards, Student Relief Fund, and Annual Campaign Gift.
- Worked with Advancement to identify and open doors to major gift prospects.

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# In Progress

**Strategy & Planning**

- Continued oversight of Alumni engagement strategy.

- Continued oversight of international strategy.

- Continued oversight of Research strategy.

**Advancement**

- Continued oversight of campaign.

- Continued oversight of Board of Governors' Awards & Million Dollar Matching Fund programs.

- Continue to develop major gift prospects.

# Future Planning

**Planning Oversight**

- Strategic Plan – Oversight of Rolling Plan
  - Academic Plan
  - Research Plan
  - Capital Plan
- Review and update of strategic planning metrics
- Rollout of university's refreshed mission, vision, and values.
- Student success strategies
- Strategic Risk Management

**Strategic Enrolment Management**

- Growth strategy
- Environmental & competitive scanning

**Strategic Discussions**

**Board Retreats**

**OntarioTech**
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## BOARD REPORT

| SESSION: | | ACTION REQUESTED: | |
|---|---|---|---|
| **Public** | ☒ | **Decision** | ☐ |
| **Non-Public** | ☐ | **Discussion/Direction** | ☐ |
| | | **Information** | ☒ |

**TO:**  Board of Governors

**DATE:**  June 24, 2021

**FROM:**  Dietmar Reiner, Board Chair

**SUBJECT:**  Report of the Board Chair – Summary of Activities

### Membership on the Board of Governors in 2020-21:

Dietmar Reiner, Board Chair
Laura Elliott, Vice-Chair & Chair of Audit & Finance Committee
Maria Saros, Vice-Chair & Chair of Governance, Nominations & Human Resources Committee
Stephanie Chow, Chair of Investment Committee
Thorsten Koseck, Chair of Strategy & Planning Committee
Azzam Abu-Rayash
Liqun Cao
Kevin Chan
Lisa Edgar (term ended May 2021)
Doug Ellis (joined Nov 2020)
Mitch Frazer, Chancellor
Francis Garwe
Kathy Hao (joined Jan 2021)
Ferdinand Jones
Kori Kingsbury
Dale MacMillan
Steven Murphy
Mark Neville
Kim Slade
Trevin Stratton
Roger Thompson
Jim Wilson

Lynne Zucker

## Committee Membership for 2020-21 was as follows:

### *Executive Committee*
*Dietmar Reiner, Chair and Board Chair*
*Laura Elliott, Vice-Chair & Chair of Audit & Finance Committee*
*Maria Saros, Vice-Chair & Chair of Governance, Nominations & Human Resources Committee*
*Stephanie Chow, Chair of Investment Committee*
*Thorsten Koseck, Chair of Strategy & Planning Committee*
*Steven Murphy, President & Vice-Chancellor*

### *Audit and Finance Committee*
*Laura Elliott (Chair)*
*Stephanie Chow*
*Doug Ellis (as of May 2021)*
*Dale MacMillan*
*Roger Thompson*
*Dietmar Reiner, Board Chair (ex-officio)*
*Steven Murphy, President (ex-officio)*

### *Governance, Nominations and Human Resources Committee*
*Maria Saros (Chair)*
*Laura Elliott*
*Francis Garwe*
*Kori Kingsbury*
*Trevin Stratton*
*Dietmar Reiner, Board Chair (ex-officio)*
*Steven Murphy, President (ex-officio)*

### *Investment Committee*
*Stephanie Chow (Chair)*
*Kathy Hao (as of May 2021)*
*Ferdinand Jones*
*Thorsten Koseck*
*Mark Neville*
*Maria Saros*
*Kim Slade*
*Dietmar Reiner, Board Chair (ex-officio)*
*Steven Murphy, President (ex-officio)*

### *Strategy & Planning Committee*
*Thorsten Koseck (Chair)*
*Azzam Abu-Rayash*
*Liqun Cao*
*Kevin Chan*
*Jim Wilson*
*Lynne Zucker*

*Dietmar Reiner, Board Chair (ex-officio)*
*Steven Murphy, President (ex-officio)*

In total, the Board and its standing committees met 23 times throughout 2020-21.

There were 5 Board meetings comprised of: 4 regularly scheduled meetings of the Board and a special meeting in September 2020.

The Board of Governors meetings were held on:
- September 23, 2020
- December 2, 2020
- February 25, 2021
- April 22, 2021
- AGM June 24, 2021

Additionally, the Board met for a special consultation on the university's refreshed Vision, Mission, and Values on December 17, 2020 and held a Board Retreat May 13, 2021.

The standing and ad hoc committees had a total of 16 meetings, which were held as follows:

| Committee | Number of Meetings | Meeting Dates |
|---|---|---|
| Audit & Finance | 4 | November 25, February 17, April 14, June 16 |
| Executive | 1 | October 29 |
| Governance, Nominations & Human Resources | 4 | October 22, January 28, March 30, May 27 |
| Investment | 3 | November 12, February 17, June 2 |
| Strategy & Planning | 4 | October 8, January 14, March 18, May 13 |
| **Total:** | **16** | |

### Orientation & PD Sessions

September 2020:     Joint Board & Academic Council Orientation – Part 1

September 2020:     Board Chair & Committee Chairs PD

October 2020:     Joint Board & Academic Council Orientation – Part 2

December 2020:     Ontario Tech Talent

February 2021:     New Governor Orientation

February 2021:     Equity, Diversity & Inclusion

February 2021:     Optional session - Strategic Questions

March 2021:     Optional session - The Price of Learning/Learning the Price

April 2021:     Research Presentations

April 2021:     Optional session – The Provost Primer