

**BOARD OF GOVERNORS' 91st REGULAR MEETING  
(PUBLIC SESSION) & ANNUAL GENERAL MEETING**

**PUBLIC SESSION AGENDA**

**Thursday, June 25, 2015**

**10:15 AM – 1:30 PM**

**Place: 55 Bond St, DTB 524**

**Dial-in Information**

**Toll-Free: 1-877-385-4099 (in Canada & U.S.), Participant Passcode: 4833382#**

**AGENDA**

| No. |      | Topic   | Lead        | Allocated Time | Suggested End Time |
|-----|------|---|-------------|----------------|--------------------|
| 1   |      | <b>Call to Order</b>  | Chair       | 1              |                    |
| 2   |      | <b>Agenda (M)</b>   | Chair       | 1              |                    |
| 3   |      | <b>Conflict of Interest Declaration</b>   | Chair       | 1              |                    |
| 4   |      | <b>Chair's Remarks</b>  | Chair       | 5              |                    |
| 5   |      | <b>Introduction of New Board Members</b>  | Chair       | 5              |                    |
| 6   |      | <b>Approval of Minutes of the Meeting of April 29, 2015* (M)</b>                              | Chair       | 2              | 10:30 AM           |
| 7   |      | <b>President's Report</b>   | President   | 5              | 10:35 AM           |
| 8   |      | <b>Co-Opulous Report</b>  | P. Tremblay | 5              | 10:40 AM           |
|     |      |   |             |                |                    |
|     |      | <b>Committee Reports (Public Items)</b>   |             |                |                    |
| 9   |      | <b>Audit &amp; Finance Committee</b>  |             |                |                    |
|     | 9.1  | Fourth Quarter Report* (M)  | A. Imrie    | 10             | 10:50AM            |
|     | 9.2  | 2014-15 Audited Financial Statements (M)<br><b>(materials to follow under separate cover)</b> | A. Imrie    | 5              | 10:55 AM           |
|     | 9.3  | Internally Restricted Funds* (M)  | A. Imrie    | 5              | 11:00 AM           |
|     | 9.4  | Risk Management Project Plan* (P)   | C. Foy      | 5              | 11:05 AM           |
|     | 9.5  | Compliance Annual Report* (P)   | C. Foy      | 5              | 11:10 AM           |
|     | 9.6  | Records Management Policy* (P)(M)   | C. Foy      | 5              | 11:15 AM           |
|     | 9.7  | Aramark Food Services Agreement* (M)  | M. Lapp     | 5              | 11:20 AM           |
|     | 9.8  | Paragon Security Contract* (M)  | M. Lapp     | 5              | 11:25 AM           |
|     | 9.9  | Audit & Finance Committee Annual Report (P)   | A. Imrie    | 10             | 11:35 AM           |
|     |      |   |             |                |                    |
| 10  |      | <b>Investment Committee</b>   | M. Goacher  | 10             | 11:45 AM           |
|     | 10.1 | Quarterly Report (first quarter ending March 31, 2015)  |             |                |                    |
|     | 10.2 | Investment Committee Annual Report (P)  |             |                |                    |
|     |      |   |             |                |                    |

|    |      |  |                        |    |          |
|----|------|--|------------------------|----|----------|
| 11 |      | <b>Governance, Nominations and Human Resources Committee</b>   |                        |    |          |
|    | 11.1 | Integration of Strategy and Planning and Advancement Committees* (M)   | G. Raymond             | 10 | 11:55 AM |
|    | 11.2 | Board Leadership, Renewal of Governors' Terms, Committee Leadership and Assignments, and LGIC Appointments*(M) | M. Newell              | 5  | 12:00 PM |
|    | 11.3 | Board Attendance Policy* (M)   | C. Foy                 | 5  | 12:05 PM |
|    | 11.4 | Board of Governors Meeting Policy & Procedures* (M)  | C. Foy                 | 5  | 12:10 PM |
|    | 11.5 | Board of Governors Election Procedures* (M)  | C. Foy                 | 5  | 12:15 PM |
|    | 11.6 | Governance, Nominations and Human Resources Committee Annual Report (P)  | M. Newell              | 10 | 12:25 PM |
|    |      |  |                        |    |          |
| 12 |      | <b>Advancement Committee</b>   | J. McKinley            | 10 | 12:35 PM |
|    | 12.1 | Advancement Office Dashboard*  |                        |    |          |
|    | 12.2 | Advancement Committee Annual Report (P)  |                        |    |          |
|    |      |  |                        |    |          |
| 13 |      | <b>Strategy &amp; Planning Committee</b>   |                        |    |          |
|    | 13.1 | Campus Master Plan & Land Use Protocol* (P)(M)   | A. Bourrie/<br>M. Lapp | 25 | 1:00 PM  |
|    | 13.2 | Strategy & Planning Committee Annual Report (P)  | B. Schmidt             | 10 | 1:10 PM  |
|    |      |  |                        |    |          |
| 14 |      | <b>Consent Agenda (M)</b>  |                        | 5  | 1:15 PM  |
|    | 14.1 | Board Schedule* (M)  |                        |    |          |
|    | 14.2 | Appointment of Board Secretary 2015-16* (M)  |                        |    |          |
|    |      |  |                        |    |          |
| 15 |      | <b>For Information:</b>  |                        | 5  | 1:20 PM  |
|    | 15.1 | Report of the Board Chair - Summary of Activities*   |                        |    |          |
|    | 15.2 | Annual Pension Governance Compliance Certificate*  |                        |    |          |
|    | 15.3 | DC-UOIT Academic Pathways Report*  |                        |    |          |
|    | 15.4 | Pathways Diploma-to-Degree (Handout)   |                        |    |          |
|    | 15.5 | Strategic Research Plan 2013-2018 (Handout)  |                        |    |          |
|    | 15.6 | Teaching and Learning Centre 2014 Annual Report (Handout)  |                        |    |          |
|    | 15.7 | Report on Donor Philanthropy (Handout)   |                        |    |          |
|    | 15.8 | November 6-7, 2015: CCOU Conference of Ontario University Board Members <b>(HOLD THE DATE)</b>                 |                        |    |          |
|    |      |  |                        |    |          |
| 16 |      | <b>Other Business</b>  |                        | 5  | 1:25 PM  |
|    |      |  |                        |    |          |
| 17 |      | <b>Termination of Meeting (M)</b>  | Chair                  | 5  | 1:30 PM  |
|    |      |  |                        |    |          |
|    |      |  |                        |    |          |

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

Cheryl Foy, Secretary

**Consent Agenda:** *To allow the Board to complete a number of matters quickly and devote more 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 section will not be discussed at the meeting unless a Governor so requests. Governors are supplied with the appropriate documentation for each item, and all items on the Consent Agenda will be **approved by means of one omnibus motion.***



**BOARD OF GOVERNORS' 90<sup>th</sup> REGULAR MEETING  
(PUBLIC SESSION)**

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**PUBLIC SESSION MINUTES**  
**Wednesday, April 29, 2015**  
**3:00 pm – 5:30 pm**  
**Place: 55 Bond St, DTB 524**

**GOVERNORS IN ATTENDANCE:**

Glenna Raymond, Chair  
Adele Imrie, Vice Chair  
John McKinley, Vice Chair  
Nigel Allen  
Doug Allingham  
Rupinder Brar  
Karyn Brearley  
Garry Cubitt  
Don Duval (*via teleconference*)  
Andrew Elrick  
Amir Ghandehariun  
Miles Goacher  
Don Hathaway (*via teleconference*)  
Theeben Jegatheesan  
Jay Lefton (*via teleconference*)  
Robert Marshall  
Tim McTiernan  
Michael Newell  
Bonnie Schmidt  
Tyler Turecki  
Valarie Wafer  
Heather White

**REGRETS:**

Perrin Beatty, Chancellor  
Pierre Tremblay  
Andrea Slane  
John Speers

**BOARD SECRETARY:**

Cheryl Foy, University Secretary and General Counsel

**UOIT STAFF:**

Craig Elliott, Chief Financial Officer  
Andrea Kelly, Assistant to the Secretary

Murray Lapp, Vice President, Human Resources and Services  
Susan McGovern, Vice President, External Relations and Communications  
Michael Owen, Vice President, Research, Innovation & International  
Melissa Gerrits, Legal Counsel  
Cathy Pitcher, Assistant to the President

**GUESTS:**

Mikael Eklund  
Adam Watson  
Laura Plant  
Susan Maitland  
Debbie McGarry  
Susan Storey  
Sean McNama

**1 Call to Order**

The Chair called the meeting to order at 3:14 p.m.

**2 Agenda**

*Upon motion brought by K. Brearley, and seconded by H. White, the Agenda was approved as presented.*

**3 Conflict of Interest Declaration**

G. Cubitt declared a conflict of interest with respect to item 9.1 as the Land Transfer involves negotiations with the Regional Municipality of Durham for which he serves as the Chief Administrative Officer.

**4 Chair's Remarks**

The Chair welcomed the guests to the meeting. She referred to the joint UOIT-DC Board meeting in March where the Service Level Agreement was ratified and the Campus Master Plan was unveiled. Both milestones represented diligent and collaborative efforts on the part of the senior administration teams at each institution and will serve to strengthen the partnership between Durham College and UOIT going forward.

The Chair congratulated Board member P. Tremblay on his retirement from OPG and wished him well on behalf of the Board. She noted that P. Tremblay will be stepping down from his current roles as UOIT Board member and co-populous member to serve as Chair of the Durham College Board. She thanked P. Tremblay for his contributions and looks forward to working with him in his capacity as Chair as both institutions strive to strengthen their relations.

The Chair made some remarks on the Presidential renewal process. She noted that the community consultation on the Presidential renewal was completed. She thanked members of the community and external stakeholders who participated in the process noting that the Board found the feedback to be useful not only in the context of the Presidential renewal for a subsequent term, but also insofar as evaluating the performance of the University and its impact on the community at large. The Board appreciated the opportunity to interact with members of the UOIT community.

She noted that the main focus of the meeting today is on the University's 2015-16 budget and on campaign planning and the alumni relations strategy. These items represent important work of the Board, and are of great significance to the University as it positions UOIT for sustainability and growth in the future. These items are particularly timely given the public release of the Federal and Provincial budgets last week. That coupled with the pending funding model reform and other legislative changes provide helpful context for the discussions and deliberations at the Board table.

## **5 Approval of Minutes of the Meeting of March 11, 2015**

*Upon motion brought by B. Marshall, and seconded by D. Allingham, the Minutes were approved as presented.*

## **6 President's Report**

The Chair invited the President to deliver his report. The President was pleased to announce several good news items. Recent award ceremonies, recognizing academic excellence and athletic ability marked another successful year for UOIT students. He noted that a graduate from Social Science and Humanities Faculty delivered a very engaging and polished presentation to the Ontario Credit Transfer Pathways Organization and exuded much pride to be a part of UOIT.

The President indicated that UOIT is hosting the International Conference on Hydrogen Production which represented an excellent opportunity to showcase the University and forge connections with global partners and academics. Other recent noteworthy events at UOIT included an advanced manufacturing session featuring Siemens Canada President and CEO as the keynote speaker and an OPG cultivation event featuring Tom Mitchell as keynote speaker. Both were well attended.

Further, the President noted that he had appeared before the Public Accounts Committee on the Attorney General's report on Teaching Effectiveness.

### **6.1 Academic Council Reports**

The President delivered the Academic Council reports, noting that synopses were included in the materials. At the meeting held on February 24, 2015, Academic Council approved a new Adult Education for the Digital Age (AEDT) Diploma and a new Graduate Diploma in Nuclear Engineering. Council also recommended two research funds policies to the Board for approval. At the meeting held on March 17, 2015, Academic Council approved a nomenclature change from the Bachelor of Arts in Communication to the Bachelor of Arts in Communication and Digital Media Studies and approved the Policy on Posthumous Degrees and Certificates of Achievement in Memoriam.

## **7 Co-Populous Report**

The Chair indicated that there was nothing to report beyond that which was covered in her opening remarks.

## **8 Committee Reports (public items)**

### **8.1 Audit & Finance Committee**

A. Imrie was pleased to present a balanced budget for the 2015-16 academic year. She noted that this was the first year of the resource allocation model and permitted carry-forwards. She thanked C. Elliott

and his team for facilitating a comprehensive process and preparing a detailed and transparent budget noting great progress in recent years. She also thanked the Provost, the Provost's team, and Deans who participated in the process. She noted that the Audit & Finance Committee was very engaged throughout the entire process and was unanimous in its recommendation of the budget for Board approval.

### **8.1.1 2015-16 Budget Approval**

C. Elliott presented the 2015-16 Budget. He indicated that the budget process underwent a number of changes this year. A new resource allocation model was implemented which applied to incremental revenue. The existing budget base from the 2014-15 year was used as its starting point. Carry forwards were permitted, provided that any surpluses/deficits satisfied the strategic criteria established by the Provost. Further, a new FAST budgeting tool was introduced which enabled departments to populate their own data. The new budgeting tool streamlined the process and allowed for the consolidation of cost centres, thereby saving time and eliminating errors. To increase transparency and readability, graphs and explanations for variances were included throughout the budget presentation.

C. Elliott provided an overview of the budget process and identified the financial principles which informed the process. He also summarized key budget assumptions. Domestic intake is expected to drop 3.9% or 104 FTEs mainly due to the Bachelor of Education becoming a two year program. However, the total number of FTEs is expected to increase 173 to 8,895 FTEs. Government grants are expected to increase by \$400K as is tuition revenue by \$2.1M as a result of a 2.9% increase in tuition rates. Space will continue to restrict enrollment as evidenced by a space measurement average of 5.1 NASM/FTE compared to the 8.3 NASM/FTE average for Ontario universities. Salaries will increase by 1.9% and the contingency reserve funds will start at \$4.9M. The Student/Faculty ratio will improve from 33 to 32:1 assuming all positions are filled.

C. Elliott noted that the budget was balanced at \$181,262,000 assuming 8,895 FTEs. He highlighted that \$3M of incremental revenues are allocated to academic units which is within the 60% target. Student revenue, including tuition and ancillary fees, account for 49% of revenue. A breakdown of expenses revealed that 54% is dedicated to labour. Capital expenses are down this year by \$2M due to shortage of space, carry forwards are up \$700K and the contingency funds are down \$1.7M. C. Elliott explained the importance of including restricted funds in budget planning.

The Provost concluded the presentation by looking at the intersection of strategic planning and budgeting. She reviewed the 2012-2016 Strategic Plan guided by its three overarching priorities. The Provost updated the Board as to how the 2014-15 academic year furthered each of the institution's strategic priorities and how the Committee planned to operationalize the strategic plan for the current year. The resources allocated for the strategic initiatives total nearly \$8M. With the five year rolling forecast in place, the strategic financial planning cycle is now complete. This will be most helpful in forecast modelling which will serve to inform strategic initiatives.

The Chair invited questions and comments from the Board. A. Imrie noted that the collaboration and consultation was appreciated and promoted a sense of accountability.

*Upon a motion brought by A. Imrie, and seconded by D. Hathaway, and pursuant to the recommendation of the Audit and Finance Committee of the Board, the Board of Governors approved the 2015-16 Budget as presented.*

The Chair acknowledged the Audit and Finance Committee for its thorough review and oversight which allowed the Board to have confidence in the high level summary. She further acknowledged the finance team and the Provost's office for their work and collaborative approach.

### **8.1.2 Blackboard Software Procurement 2015-2018**

A. Imrie spoke to the Blackboard Software Procurement. She indicated that the Audit and Finance Committee supported extending the current license for a three year term until September 2018. Blackboard was a market leader, owning over 40% of the market, and its product was a sole source arrangement. To source another product would cause a significant disruption to the students and the migration process would be costly and time-consuming. UOIT has been generally happy with the service and responsiveness of the vendor.

A. Imrie indicated a cost of renewal of \$1.4 USD. The Committee had discussed different options for hedging currency risk and C. Elliott was looking into having the funds transferred to a US account.

*Upon a motion brought by A. Imrie, and seconded by D. Allingham and pursuant to the recommendation of the Audit and Finance Committee of the Board, the Board of Governors approved the expenditure of approximately \$1.4 million USD for the Blackboard Learn software licensing and hosting services.*

## **8.2 Advancement Committee**

The Chair invited J. McKinley to deliver the report on behalf of the Advancement Committee.

### **8.2.1 Third Quarter Report**

J. McKinley provided a high level overview of the Q3 Report which was included in the materials. He indicated that Advancement was slightly behind its projections, largely as a result of an outstanding gift. Advancement expects to receive the final installment upon the completion of certain deliverables. He also noted that there is remaining money in the \$1M matching fund. The matching fund has proven to be a positive strategy to securing donations and new pledges. He encouraged Board members to highlight this opportunity to community members.

### **8.2.2 Campaign Planning Study presented by KCI**

S. McGovern introduced the Campaign Planning Study and welcomed KCI representative Susan Storey. S. McGovern indicated that KCI was successful in the RFP process for its unique approach and customized campaign strategy. The company is six weeks into its planning and has already started external consultations which will assist UOIT in developing its pipeline. S. McGovern further explained that it typically takes 7-10 years to cultivate a relationship before a gift is realized.

Susan Storey provided a high level overview of the planning process to the Board. The presentation was included in the materials. She indicated that pilot consultations were underway with 25 prospective donors. The objective was to better understand donors' knowledge and objectives, communicate UOIT's initiatives, test different strategies and use that information to critique the consultation process. A further 100 consultations will be completed by end of summer. Given that UOIT is young and this is its first campaign, KCI is casting the net widely to include both individuals and corporations, current donors, prospective donors and donors who are not familiar with UOIT.

Susan Storey indicated that KCI will be providing a report of recommendations for a successful campaign strategy. They are currently contemplating a strategic model that includes a layered series of campaigns



that builds awareness and momentum over the decade with staggered milestones. If the goal of the pipeline is to generate \$300M, KCI will be identifying the gap between current prospects and the desired pipeline. They will also indicate the status of prospects and the years likely required to cultivate a gift. They will assist in setting targets, forecasting costs and identifying resources requirements. Other outputs will include training, the evaluations of assets, the articulation of the message and the development of the communication plan.

There were no questions from the Board.

### **8.2.3 Alumni Engagement Strategy presented by Gotta Purpose Inc.**

S. McGovern introduced two representatives from Gotta Purpose Inc., Adam Watson and Laura Plant. The Company was retained to develop an alumni engagement strategy to be implemented concurrently with the campaign strategy.

Adam Watson explained that alumni are the most powerful resource and advocate the University has to raise money. This resource needs to be harnessed early on to stimulate long-term returns. With a current alumni base of 10,000, expected to increase six times by 2027, UOIT must actively create value for alumni to see its brand grow and flourish in the marketplace. It is common practice for people to do business with institutions they know and trust.

Adam Watson illustrated the returns of a strong relationship. Cultivation begins during the first year a student is enrolled at the institution. Alumni engagement is important not just for investment purposes, but also for attracting top faculty as well as public and industrial relations. The alumni relationship requires constant investment.

Gotta Purpose conducted an alumni survey has informed the development of the strategy. Alumni reported feeling a strong bond to its faculty. Hence, interaction with faculty members will play a vital role in increasing levels of engagement. The Company will be working closely with the Alumni Association and Communications to feature faculty content on both the website and in the alumni e-newsletter and will be developing a speaker series that builds brand awareness and exemplifies the quality of research to the workplace of alumni. Management will also be afforded tools to monitor the strength and quality of the ongoing relationships and to measure the success of various promotional programs designed to increase engagement levels.

The Chair acknowledged the efforts of the Advancement Committee and the importance of coordinating the campaign and alumni engagement plans such that both pieces run concurrently to maximize long-term results.

M. Goacher inquired about the level of faculty involvement. S. McGovern answered that internal support and involvement will be a key component of the campaign strategy.

### **8.3 Governance, Nominations and Human Resources Committee**

K. Brearley delivered the Committee report. She indicated that the recruitment process was under review and the skills matrix is being discussed. The Committee has also been looking at engagement levels and ways in which to maintain and improve attendance and participation. A draft Board schedule is expected to be ready for the AGM along with details for the 2015-16 retreat.

#### **8.3.1 Annual Board Elections**

C. Foy presented a Certificate of the Chief Electoral Officer recommending the appointment of four successful candidates to the Board. The Certificate was included in the materials. With the exception of one minor complaint that was investigated and resolved, the Board Elections process was a very clean process.

*Upon a motion brought by K. Brearley, and seconded by T. Turecki, and pursuant to the recommendation of the Governance, Nominations and Human Resources Committee of the Board, and supported by the Certificate of the Chief Electoral Officer, the Board of Governors approved the appointment of the following Teaching, Non-Academic and Student Representatives to the Board: Jeremy Bradbury, Shirley Van Nuland, Mary Steele, and Jonathan Hackett.*

The Chair indicated that the newly appointed governors will officially commence their terms in September, however they will be invited to the June Board meeting.

### **8.3.2 Pension Plan Amendment**

M. Lapp addressed the Pension Plan amendments. He noted that this particular item had been deferred at the last meeting. The other amendment to the Pension Plan, section 8.09 (Shortened Life Expectancy) recommended by GNHR had been successfully approved by the Board at the March 11 meeting.

M. Lapp explained the purpose of each amendment. The amendment to section 6.01 (Benefits on Retirement and Termination) of the Plan will permit the University to unlock small pension benefits to plan members who cease to be employed by the University. Members will receive a single lump sum in the absence of an express election to transfer the assets to a registered retirement plan within the 90 day notice period. By closing the smaller pension accounts, the University will be able to reduce exposures and administration by a third. The second amendment to section 6.03 (Payment of Pension) will bring the Plan in line with recent legislative changes. Members will now be permitted to transfer pension plan assets up until the age of 71.

M. Lapp answered questions from the Board relating to threshold amounts, procedures for unlocking the pension benefits and the rationale for closing the accounts.

*Upon a motion brought by R. Marshall, and seconded by A. Imrie, the Board approved the resolution appended to the Minutes as Appendix "A".*

## **8.4 Strategy & Planning Committee**

### **8.4.1 Strategic Plan**

D. Hathaway delivered the Strategy & Planning Committee's report on behalf of the Chair. The Committee had an opportunity to discuss the current Strategic Plan and considers it beneficial to extend the Plan a further five years, maintaining its three overarching priorities and adopting a rolling three year structure to align with the budgeting process. With respect to Key Performance Indicators (KPI's), he noted that the Committee was looking at reducing or merging indices and/or implementing a dashboard so that the Board can track the 5-15 metrics that have the most impact on its decisions. D. Hathaway encouraged members to read the Dynamic Presentation included the materials as he found it particularly instructive in the areas of strategy, risk and organizational performance as they relate to the Board's duty of care.

## **9 Other Business**

### **9.1 Land Transfer - Simcoe Street Road Widening**

M. Lapp addressed this item. The expansion of Simcoe Street North is scheduled to commence this summer. UOIT intervened with the Region of Durham to design a road that takes into account the future design and expansion of the campus to ensure that the road is pedestrian-friendly. This includes allocating sufficient boulevard and sidewalks, plants, lighting, bike lanes, etc. The expansion, which consists of an additional conveyance of five metres of land, will assist with pedestrian safety and traffic flow. He advised that all parties were in agreement and that the paperwork had been vetted by external counsel.

*Upon a motion brought by the President, and seconded by T. Jegatheesan, the Board of Governors approved the following:*

*UOIT is hereby authorized to negotiate and enter into a transfer agreement to effect a transfer of a strip of land running adjacent to Simcoe Street North commencing roughly beside the Campus Ice Centre and ending at Britannia Road, and measuring approximately 5 metres in width, to the Region of Durham.*

*Any one or more members of the UOIT Senior Leadership Team is hereby authorized and directed for and in the name of and on behalf of the Corporation to execute, whether under corporate seal or otherwise, and deliver and file all such documents and instruments and to do all such other acts and things as are required or as the member(s) may deem necessary or desirable to give full effect to or to carry out the provisions of this resolution and the terms of the Transfer Agreement.*

## **10 For Information**

### **10.1 Pathways Diploma-to-Degree Brochure**

The Chair deferred this item to the next meeting.

### **10.2 2015 Convocation - June 4 & 5, 2015 - General Motors Centre**

The Chair encouraged all board members to attend the upcoming convocation ceremonies.

### **10.3 Top 10 Campus Legal Issues for Boards**

This was an information item included in the Board materials.

### **10.4 Lieutenant Governor In Council (LGIC) Appointment**

The Chair acknowledged A. Imrie as the incoming Lieutenant Governor In Council (LGIC) to the Board.

## **11 Termination of Meeting**

Upon a motion duly made by K. Brearley and seconded by R. Marshall, the meeting was adjourned at 5:27 p.m.

**Appendix A**

**Pension Plan Amendment**

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

AND WHEREAS the University has reserved the right to amend the Plan pursuant to Section 9.01 (Amendment of the Plan) of the Plan;

AND WHEREAS the University desires to add provisions to the Plan allowing for unlocking of small pension benefits, subject to and in accordance with the *Pension Benefits Act* (Ontario) and to make changes of a housekeeping nature;

NOW THEREFORE BE IT RESOLVED THAT, effective December 1, 2014:

1. Two new paragraphs shall be added to the end of Section 6.01 (Benefits on Retirement and Termination), as follows:

"Notwithstanding the foregoing, where a Member ceases to be employed by the University, other than because of death, and either:

- (a) the annual pension payable on the Member's Normal Retirement Date that can be provided by the portion of the Member's Pension Account balance that is not attributable to the Member's additional voluntary contributions to the Plan, if any, is not more than 4% of the Year's Maximum Pensionable Earnings in the year that the Member ceases to be employed by the University; or
- (b) the balance in the portion of the Member's Pension Account that is not attributable to the Member's additional voluntary contributions to the Plan, if any, is less than 20% of the Year's Maximum Pensionable Earnings in the year that the Member ceases to be employed by the University;

the balance in the Member's Pension Account shall, subject to the following paragraph, be paid to the Member as a single lump-sum payment, less applicable withholdings, if any.

A Member to whom a lump sum is payable pursuant to the foregoing paragraph of this Section 6.01 may, subject to the Income Tax Act and the Pension Benefits Act, elect to transfer the balance in the Member's Pension Account to a registered retirement savings plan or a registered retirement income

fund in lieu of receiving the lump sum payment. The election described in the foregoing sentence must be made within 90 days of the University notifying the Member that the Member has the right to require the above-mentioned transfer. If the Member does not make such an election within the 90-day period, the Member will be deemed to have elected to receive the amount as a lump-sum payment, less applicable withholdings. The University, in its sole discretion, may waive the 90-day requirement described in the foregoing sentence.

2. Section 6.03 (Payment of Pension) shall be deleted in its entirety and replaced with the following:

“6.03 Payment of Pension

(a) Member

Notwithstanding Section 6.01 above, in no event shall the transfer of the balance in the Member’s Pension Account occur later than the last day of the calendar year in which the Member attains seventy-one (71) years of age, or such other date as prescribed by the Income Tax Act.

(b) Surviving Spouse

Where, following a Member’s death, the balance in the Member’s Pension Account is payable to the Member’s Spouse pursuant to Section 6.02, the payment or transfer of the balance in the Member’s Pension Account, as applicable, must occur no later than the later of:

(i) the end of the calendar year in which the Spouse attains age 71; or

(ii) one year after the Member’s death if the Spouse attained age 71 or more in the calendar year in which the Member’s death occurred.”

3. The Vice-President, Human Resources and Services of the University is hereby directed to sign and file this Resolution and all related documents with the applicable federal and provincial regulatory authorities and to implement this Resolution, including the making of any further Plan amendments as may be necessary or required to obtain and maintain such federal and provincial registrations.

## University of Ontario Institute of Technology

### Management Reporting - 2014-15 Operating Summary (in '000 s) For the Year ending March 31, 2015

| April 1, 2014 - March 31, 2015                  |                   |                   |                   |  |            |
|---|-------------------|-------------------|-------------------|--|------------|
|   | YE Budget         | YE Forecast       | YE Actuals        | Fav.(Unfav.)<br>Variance: Actuals<br>v/s Forecast \$/% |            |
| <b>Revenue</b>                                  |                   |                   |                   |  |            |
| Grants  | 76,883            | 75,486            | 75,743            | 257  | 0%         |
| Donations                                       | 1,305             | 1,599             | 913               | (686)  | -43%       |
| Tuition   | 71,983            | 69,146            | 68,744            | (402)  | -1%        |
| Student Ancillary                               | 19,705            | 19,092            | 18,761            | (331)  | -2%        |
| Other   | 10,154            | 10,416            | 10,858            | 442  | 4%         |
| <b>Total Revenue</b>                            | <b>\$ 180,030</b> | <b>\$ 175,739</b> | <b>\$ 175,019</b> | <b>\$ (720)</b>  | <b>0%</b>  |
| <b>Expenditures</b>                             |                   |                   |                   |  |            |
| Academic/ACRU                                   | 62,366            | 61,520            | 59,640            | 1,880  | 3%         |
| Academic Support                                | 33,071            | 31,140            | 29,900            | 1,240  | 4%         |
| Administrative                                  | 34,424            | 32,327            | 25,941            | 6,386  | 20%        |
| <b>Total UOIT Pure</b>                          | <b>\$ 129,861</b> | <b>\$ 124,987</b> | <b>\$ 115,482</b> | <b>\$ 9,505</b>  | <b>8%</b>  |
| <b>Purchased Services</b>                       | <b>15,690</b>     | <b>15,043</b>     | <b>16,453</b>     | <b>(1,410)</b>   | <b>-9%</b> |
| <b>Total Ancillary/Commercial</b>               | <b>6,058</b>      | <b>6,077</b>      | <b>5,985</b>      | <b>92</b>  | <b>2%</b>  |
| <b>Total Debenture Expenses (interest only)</b> | <b>11,860</b>     | <b>11,860</b>     | <b>11,860</b>     | <b>-</b>   | <b>0%</b>  |
| <b>Total Operating Expenses</b>                 | <b>\$ 163,469</b> | <b>\$ 157,967</b> | <b>\$ 149,780</b> | <b>\$ 8,187</b>  | <b>5%</b>  |
| <b>Net Contribution from Operations</b>         | <b>\$ 16,561</b>  | <b>\$ 17,772</b>  | <b>\$ 25,239</b>  | <b>\$ 7,467</b>  | <b>42%</b> |

#### Note Disclosure:

|   |        |        |        |       |     |
|---|--------|--------|--------|-------|-----|
| Capital Expenses funded from Operations | 10,847 | 12,073 | 11,824 | 249   | 2%  |
| Capital - Purchased Services            | 1,209  | 1,193  | 1,193  | -     | 0%  |
| Principal Repayments - debenture/leases | 4,506  | 4,506  | 4,801  | (295) | -7% |

|                           |   |   |       |       |     |
|---------------------------|---|---|-------|-------|-----|
| Net Cash Inflow/(Outflow) | - | - | 7,421 | 7,421 | N/A |
|---------------------------|---|---|-------|-------|-----|

#### Reconciliation to forecast GAAP FS:

|  |                  |
|--|------------------|
| <b>Net contribution from Operations</b>                                | <b>\$ 25,239</b> |
| <b>Items not budgeted:</b>   |                  |
| Externally funded revenues (research, donations)                       | \$ 10,636        |
| Externally funded expenses (research, donations)                       | \$ (9,637)       |
| <b>Non-cash transactions:</b>  |                  |
| Amortization of capital assets   | \$ (26,681)      |
| Amortization of deferred capital contributions                         | \$ 8,818         |
| Unrealized gains on investments  | \$ 1,270         |
| Vacation accrual   | \$ (136)         |
| <b>Grants received for capital, reclassified to balance sheet</b>      |                  |
| Deferred capital contributions   | \$ (776)         |
| <b>Excess revenue over expenses - as per GAAP Financial Statements</b> | <b>\$ 8,734</b>  |

# University of Ontario Institute of Technology

## Management Reporting - 2014-15 Operating Revenues (in '000 s) For the Year ending March 31, 2015

| April 1, 2014 - March 31, 2015                          |                   |                   |                   |  |                |
|---|-------------------|-------------------|-------------------|--|----------------|
|   | YE Budget         | YE Forecast       | YE Actuals        | Fav.(Unfav.) Variance:<br>Actuals v/s Forecast<br>\$/% |                |
| <b>Revenue</b>  |                   |                   |                   |  |                |
| <b>Grants</b>   |                   |                   |                   |  |                |
| Basic Operating Grant                                   | 52,574            | 50,144            | 50,121            | (23)   | 0%             |
| CN Grant  | 4,403             | 4,824             | 4,725             | (99)   | -2%            |
| Debenture Grant   | 13,500            | 13,500            | 13,500            | -  | 0%             |
| Other Grants  | 6,406             | 7,018             | 7,397             | 379  | 5% <b>N1</b>   |
| <b>Total Grants</b>                                     | <b>\$ 76,883</b>  | <b>\$ 75,486</b>  | <b>\$ 75,743</b>  | <b>257</b>   | <b>0%</b>      |
| Donations   | 1,305             | 1,599             | 913               | (686)  | -43% <b>N2</b> |
| <b>Total Donations</b>                                  | <b>\$ 1,305</b>   | <b>\$ 1,599</b>   | <b>\$ 913</b>     | <b>(686)</b>   | <b>-43%</b>    |
| <b>Student Tuition Fees</b>                             |                   |                   |                   |  |                |
| Tuition   | 68,834            | 65,760            | 65,466            | (294)  | 0%             |
| CN Tuition  | 3,149             | 3,386             | 3,278             | (108)  | -3%            |
| <b>Total Student Tuition Fees</b>                       | <b>\$ 71,983</b>  | <b>\$ 69,146</b>  | <b>\$ 68,744</b>  | <b>(402)</b>   | <b>-1%</b>     |
| <b>Student Ancillary</b>                                |                   |                   |                   |  |                |
| Student Ancillary - UOIT                                | 7,044             | 6,933             | 6,950             | 17   | 0%             |
| Student Ancillary - UOIT TELE                           | 8,863             | 8,710             | 8,585             | (125)  | -1%            |
| Ancillary Operations - Purchased Services               | 3,798             | 3,449             | 3,226             | (223)  | -6% <b>N3</b>  |
| <b>Total Student Ancillary and Ancillary Operations</b> | <b>\$ 19,705</b>  | <b>\$ 19,092</b>  | <b>\$ 18,761</b>  | <b>(331)</b>   | <b>-2%</b>     |
| <b>Other General Revenue</b>                            |                   |                   |                   |  |                |
| Other Revenue - UOIT                                    | 3,238             | 4,271             | 4,460             | 189  | 4%             |
| Other Revenue - Purchased Services                      | 534               | 510               | 573               | 63   | 12% <b>N4</b>  |
| Daycare   | 790               | 631               | 613               | (18)   | -3%            |
| ACE Commercial  | 3,876             | 3,246             | 3,457             | 211  | 7% <b>N5</b>   |
| Regent  | 219               | 238               | 233               | (5)  | -2%            |
| Campus Ice Centre/Campus Tennis Centre                  | 1,497             | 1,520             | 1,522             | 2  | 0%             |
| <b>Total Other General Revenue</b>                      | <b>\$ 10,154</b>  | <b>\$ 10,416</b>  | <b>\$ 10,858</b>  | <b>\$ 442</b>  | <b>4%</b>      |
| <b>Total Operating Revenue</b>                          | <b>\$ 180,030</b> | <b>\$ 175,739</b> | <b>\$ 175,019</b> | <b>\$ (720)</b>  | <b>0%</b>      |

## University of Ontario Institute of Technology

### Management Reporting - 2014-15 Operating Revenues (in '000 s) For the Year ending March 31, 2015

#### Operating Revenues: Variance Explanations - YE Actuals v/s YE Forecast

- N1.** Other Grants are favourable \$379k due to unbudgeted grants for capital renovations including Facilities Renewal Program \$240k, Enabling Accessibility Funding \$50k for the Regent Theater, and other operating grants, none exceeding \$30k.
- N2.** Q3 forecast donation revenue did not include the impact of deferring unspent expendable funds at the end of the fiscal year. Donation Revenue is unfavourable \$686k due to lower than projected transfers to Financial Aid for student awards. The unspent funds have now been deferred to be spent in future years.
- N3.** Ancillary Operations - Purchased Services includes revenues from bookstore and parking. Anc. Operations revenues is \$223k unfavourable due to lower than projected bookstore revenues \$163k (offset by a reduction in bookstore expenses - **see Expenses N11**) and \$60k lower than projected parking revenues.
- N4.** Other revenue from purchased services is favourable \$63k s as revenue from the athletic facility rental exceeded expectations.
- N5.** ACE Commercial revenue is favourable \$211k due to increased third party contracts and a higher partner rate with GM.



**University of Ontario Institute of Technology**  
**Management Reporting - 2014-15 Operating Expenses (in '000 s)**  
**For the Year ending March 31, 2015**

| April 1, 2014 - March 31, 2015               |                   |                   |                   |   |                |
|--|-------------------|-------------------|-------------------|---|----------------|
|  | YE Budget         | YE Forecast       | YE Actuals        | Fav.(Unfav.) Variance:<br>Actuals v/s Forecast \$/% |                |
| Faculty of ESNS                              | 4,243             | 4,418             | 4,126             | 292   | 7% N1          |
| Faculty of Business and IT                   | 10,433            | 10,130            | 9,848             | 282   | 3%             |
| Fac. of Social Science & Humanities          | 8,465             | 8,370             | 8,464             | (94)  | -1%            |
| Faculty of Education                         | 5,109             | 4,950             | 4,747             | 203   | 4%             |
| Faculty of Health Sciences                   | 10,053            | 10,020            | 9,891             | 129   | 1%             |
| Faculty of EAS                               | 9,650             | 9,681             | 9,160             | 521   | 5% N2          |
| Faculty of Science                           | 10,145            | 10,072            | 10,050            | 22  | 0%             |
| Graduate Studies                             | 2,848             | 2,584             | 2,507             | 77  | 3%             |
| Internally Funded Research                   | 1,420             | 1,295             | 849               | 446   | 34% N3         |
| <b>Total Academic/ACRU</b>                   | <b>\$ 62,366</b>  | <b>\$ 61,520</b>  | <b>\$ 59,640</b>  | <b>\$ 1,880</b>                                     | <b>3%</b>      |
| Office of the Provost                        | 2,972             | 2,080             | 2,059             | 21  | 1%             |
| Research, Innovation & International         | 2,344             | 2,199             | 2,197             | 2   | 0%             |
| Teaching & Learning                          | 1,686             | 1,743             | 1,484             | 259   | 15% N4         |
| Registrar                                    | 6,798             | 6,907             | 6,878             | 29  | 0%             |
| Tuition Set Aside                            | 5,382             | 5,076             | 4,679             | 397   | 8% N5          |
| Student Life                                 | 5,849             | 5,478             | 5,316             | 162   | 3%             |
| Library                                      | 4,472             | 4,526             | 4,105             | 421   | 9% N6          |
| IT - TELE                                    | 3,568             | 3,131             | 3,182             | (51)  | -2%            |
| <b>Total Academic Support</b>                | <b>\$ 33,071</b>  | <b>\$ 31,140</b>  | <b>\$ 29,900</b>  | <b>\$ 1,240</b>                                     | <b>4%</b>      |
| University Secretariat and General Counsel   | 1,064             | 1,011             | 1,019             | (8)   | -1%            |
| President                                    | 1,257             | 1,160             | 1,004             | 156   | 13% N7         |
| Finance                                      | 3,491             | 3,455             | 3,093             | 362   | 10% N8         |
| Central Operations                           | 7,673             | 6,764             | 1,435             | 5,329   | 79% N9         |
| OCIS/Leased Space                            | 10,231            | 9,946             | 9,788             | 158   | 2%             |
| IT (excluding TELE)                          | 2,382             | 2,098             | 2,121             | (23)  | -1%            |
| External Relations                           | 1,330             | 1,252             | 1,204             | 48  | 4%             |
| Communication & Marketing                    | 2,086             | 2,012             | 2,007             | 5   | 0%             |
| Advancement                                  | 1,698             | 1,694             | 1,640             | 54  | 3%             |
| Human Resources                              | 2,886             | 2,633             | 2,356             | 277   | 11% N10        |
| ACE - Academic                               | 326               | 302               | 276               | 26  | 9%             |
| <b>Total Administrative</b>                  | <b>\$ 34,424</b>  | <b>\$ 32,327</b>  | <b>\$ 25,941</b>  | <b>\$ 6,386</b>                                     | <b>20%</b>     |
| Student Services                             | 962               | 903               | 1,009             | (106)   | -12%           |
| IT   | 5,006             | 4,574             | 5,010             | (436)   | -10%           |
| Facilities                                   | 9,722             | 9,566             | 10,435            | (869)   | -9%            |
| <b>Total Purchased Services</b>              | <b>\$ 15,690</b>  | <b>\$ 15,043</b>  | <b>\$ 16,453</b>  | <b>\$ (1,410)</b>                                   | <b>-9% N11</b> |
| Campus Ice /Campus Tennis Centre             | 1,529             | 1,528             | 1,395             | 133   | 9% N12         |
| Daycare                                      | 659               | 663               | 669               | (6)   | -1%            |
| ACE Commercial                               | 3,562             | 3,566             | 3,596             | (30)  | -1%            |
| Regent                                       | 308               | 320               | 324               | (4)   | -1%            |
| <b>Total Ancillary / Commercial Expenses</b> | <b>\$ 6,058</b>   | <b>\$ 6,077</b>   | <b>\$ 5,985</b>   | <b>\$ 92</b>  | <b>2%</b>      |
| Debenture                                    | 11,860            | 11,860            | 11,860            | (0)   | 0%             |
| <b>Total Other Expenses</b>                  | <b>\$ 11,860</b>  | <b>\$ 11,860</b>  | <b>\$ 11,860</b>  | <b>\$ (0)</b>                                       | <b>0%</b>      |
| <b>Total Operating Expenses</b>              | <b>\$ 163,469</b> | <b>\$ 157,967</b> | <b>\$ 149,780</b> | <b>\$ 8,187</b>                                     | <b>5%</b>      |
| <b>Note Disclosure:</b>                      |                   |                   |                   |   |                |
| <b>Cash</b>                                  |                   |                   |                   |   |                |
| Capital Expenses funded from Operations      | 10,847            | 12,073            | 11,824            | 249   | 2%             |
| Capital - Purchased Services                 | 1,209             | 1,193             | 1,193             | -   | 0%             |
| Principal Repayments - debenture/leases      | 4,506             | 4,506             | 4,801             | (295)   | -7%            |
| <b>Non - Cash</b>                            |                   |                   |                   |   |                |
| Unrealized gains                             | -                 | (540)             | (1,270)           | 730   | -135% N13      |
| Vacation Accrual                             | -                 | 135               | 136               | (1)   | -1%            |

**University of Ontario Institute of Technology**  
**Management Reporting - 2014-15 Operating Expenses (in '000 s)**  
**For the Year ending March 31, 2015**

**Variance Explanations - YE Actuals v/s YE Forecast**

- N1** The Faculty of ESNS is favourable \$292k. This includes \$166k of consulting fees due to the delay in the start of the AOOM project and \$126k in other unspent general expenses.
- N2** The Faculty of EAS is favourable \$521k due to forecast errors in Q3. Q3 forecast included the annual salary of 6 vacant positions, 3 of which were not hired at year end (\$255k), and 3 were delayed hires (\$201k). Q3 forecast also did not include \$65k labour cost recovery from external research grants.
- N3** Internally funded research (IFR) relates to professional development and start up funds for tenure/tenure track faculty members. Q3 forecast was based on a historical spending average, and current actual spending is lower than historical forecast. In accordance with the Faculty Association collective agreement, the unspent funds have been internally restricted and are available for spending in future years.
- N4** Teaching and Learning is favourable \$259k due to \$142k salary forecast errors in Q3 (Q3 forecast included the annual salary of 2 vacant positions, one of which was not hired at year-end and a delayed hire) and \$117k unspent operating expenses due to fewer project requests from the faculties.
- N5** Tuition Set Aside (TSA) relates to tuition funds set aside (8% domestic tuition + 10% on YOY enrolment growth) as required by the Ministry to provide financial support for "in-need" students. TSA expenses are favourable \$397k as the Q3 forecast was not adjusted to account for the shortfall in enrolment targets and the resulting lower set aside funds available for disbursement.
- N6** The Library is favourable \$421k of which \$334 relates to FT and PT labour (\$166k due to delayed hires of full-time replacement staff, \$97k duplication of FT salary and \$71k unused PT dollars), and \$87k unspent on operating expenses due to lower enrollment projections not incorporated in the forecast.
- N7** The President's Office is favourable \$156k due to lower than anticipated costs for consulting and project costs.
- N8** Finance actual is lower than forecast by \$362k as the Q3 forecast did not include \$275k upside relating to the favourable true-up of actual v/s estimated salary benefits and \$87k savings due to unfilled vacant positions.
- N9** Central Operations budget included reserves of \$6.2m. Central is favourable as \$5.3m reserves was unspent at the end of the fiscal year.
- N10** Human Resources actual is lower than forecast by \$277k and includes \$112k unused maternity/sick leave reserve and \$165k operating expense savings from delayed projects including staff development and Job-e consulting fees.
- N11** Purchased Services expenses exceed forecast by \$1,410k as the forecast did not include \$1,140k in overhead administration charges and \$440k increase in utility costs. These additional expenses were offset by \$170k savings from lower than expected bookstore expenses (**see Revenue N3**).
- N12** Campus Ice/Campus Tennis Centre is favourable \$133k due to the year-end reclassification of expenses to capital assets relating to prior years.
- N13** Unrealized gains are favourable \$730k as market conditions were better than forecasted.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Monthly Cash Projections

| Category              | Description   |           | Apr-14                 | May-14                 | Jun-14                 | Jul-14                 | Aug-14                 | Sep-14                 | Oct-14                 | Nov-14                 | Dec-14                 | Jan-15                 | Feb-15                 | Mar-15                 | FY 15 Cumulative Total  | FY15 BUDGET              | Variance            |
|-----------------------|---|-----------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|-------------------------|--------------------------|---------------------|
| <b>CASH INFLOWS:</b>  | <b>Revenues</b>   |           | <i>actuals</i>         | <i>actuals</i>         | <i>actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Actuals</i>         | <i>Total Actuals</i>    | <i>Total cash Budget</i> |                     |
| Grant Revenue         | Grant Revenue   | <b>N1</b> | 3,376,326.20           | 3,147,290.38           | 3,224,667.94           | 3,072,844.39           | 5,345,738.51           | 5,621,091.69           | 6,270,548.91           | 5,597,613.39           | 6,111,631.13           | 5,904,462.58           | 7,023,886.31           | 6,841,502.71           | 61,537,604.14           | 63,383,616.00            | (1,846,011.86)      |
| Revenues              | Student Tuition Fees  | <b>N2</b> | 4,238,690.58           | 3,202,338.13           | 2,633,129.16           | 3,305,599.27           | 17,331,149.11          | 22,502,213.31          | 4,192,080.08           | 1,823,700.41           | 9,293,149.27           | 17,465,343.12          | 2,803,156.68           | 1,682,694.09           | 90,473,243.21           | 85,777,860.00            | 4,695,383.21        |
| Other Revenues        | Other Revenues  | <b>N3</b> | 309,735.73             | 929,798.36             | 302,264.77             | 446,189.49             | 1,333,783.84           | 1,101,748.91           | 968,594.54             | 1,070,115.43           | 681,459.32             | 1,786,440.04           | 496,726.22             | 1,338,155.58           | 10,765,012.23           | 12,483,651.00            | (1,718,638.77)      |
| Other Revenues        | Debenture - MTCU  |           | 6,750,000.00           | -                      | -                      | -                      | -                      | -                      | 6,750,000.00           | -                      | -                      | -                      | -                      | -                      | 13,500,000.00           | 13,500,000.00            | -                   |
| Other Revenues        | ACE   |           | 479,204.71             | 230,794.46             | 209,051.56             | 116,872.04             | 227,652.38             | 331,132.30             | 182,517.66             | 246,890.50             | 369,409.06             | 286,719.45             | 278,097.81             | 344,773.77             | 3,303,115.70            | 3,876,307.00             | (573,191.30)        |
| Other Revenues        | Regent Theatre  |           | 41,335.40              | 81,247.58              | 47,282.05              | 17,423.00              | 31,500.00              | 65,268.90              | 78,767.71              | 69,606.26              | 62,854.64              | 63,532.50              | 51,206.00              | 50,268.15              | 660,292.19              | 218,600.00               | 441,692.19          |
| Other Revenues        | Childcare Campus Center<br>receivables + interest income for offset |           | 65,756.80              | 41,842.72              | 61,182.55              | 38,380.38              | 40,551.25              | 34,755.92              | 61,732.79              | 44,208.00              | 162,429.12             | 36,625.68              | 43,411.48              | 40,578.96              | 671,455.65              | 789,375.00               | (117,919.35)        |
|                       | <b>Total revenues</b>   |           | <b>15,261,049.42</b>   | <b>7,633,311.63</b>    | <b>6,477,578.03</b>    | <b>6,997,308.57</b>    | <b>24,310,375.09</b>   | <b>29,656,211.03</b>   | <b>18,504,241.69</b>   | <b>8,852,133.99</b>    | <b>16,680,932.54</b>   | <b>25,543,123.37</b>   | <b>10,696,484.50</b>   | <b>10,297,973.26</b>   | <b>180,910,723.12</b>   | <b>180,029,409.00</b>    | <b>881,314.12</b>   |
| <b>CASH OUTFLOWS:</b> | <b>Expenditures</b>   |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                         |                          |                     |
| Labour                | Payroll   | <b>N4</b> | (6,462,727.42)         | (7,202,160.19)         | (6,068,788.45)         | (6,403,822.35)         | (6,331,937.83)         | (6,573,761.31)         | (8,112,693.85)         | (7,156,301.93)         | (7,131,908.85)         | (7,447,062.62)         | (7,434,343.14)         | (7,577,241.05)         | (83,902,748.99)         | (85,791,154.00)          | 1,888,405.01        |
| Operating Expenses:   | Capital expenditures  | <b>N5</b> | (44,250.00)            | (202,741.00)           | (3,902,196.00)         | (707,662.00)           | (1,901,394.96)         | (1,892,480.05)         | (473,431.99)           | (481,225.05)           | (177,523.67)           | (303,163.00)           | (251,712.00)           | (1,432,430.00)         | (11,770,209.72)         | (9,960,956.00)           | (1,809,253.72)      |
| Operating Expenses:   | Durham College - SLA payment  | <b>N6</b> | -                      | (4,568,253.62)         | (1,010,527.16)         | (1,484,758.46)         | (669,740.87)           | (1,507,322.12)         | (1,017,637.40)         | (1,819,915.31)         | (2,436,898.00)         | (1,359,969.25)         | (1,784,102.48)         | (2,359,895.86)         | (20,019,020.53)         | (16,899,529.00)          | (3,119,491.53)      |
| Operating Expenses:   | Commercial /Administrative expenses -OPEX                           | <b>N7</b> | (6,817,424.66)         | (3,764,053.49)         | (4,187,898.86)         | (3,834,440.83)         | (2,701,239.13)         | (8,084,440.77)         | (3,950,584.79)         | (2,670,333.57)         | (2,832,888.26)         | (3,858,644.14)         | (3,359,834.96)         | (2,681,708.82)         | (48,743,492.28)         | (50,876,764.00)          | 2,133,271.72        |
| Operating Expenses:   | Debenture   |           | (8,250,503.00)         | -                      | -                      | -                      | -                      | -                      | (8,250,503.00)         | -                      | -                      | -                      | -                      | -                      | (16,501,006.00)         | (16,501,006.00)          | -                   |
| Investment            | BMO Nesbitt Burns   |           |                        |                        |                        |                        |                        | (16,000,000.00)        | -                      | -                      | -                      | -                      | -                      | -                      |                         |                          |                     |
|                       | <b>Total Operating Expense</b>                                      |           | <b>(21,574,905.08)</b> | <b>(15,737,208.30)</b> | <b>(15,169,410.47)</b> | <b>(12,430,683.64)</b> | <b>(11,604,312.79)</b> | <b>(34,058,004.25)</b> | <b>(21,804,851.03)</b> | <b>(12,127,775.86)</b> | <b>(12,579,218.78)</b> | <b>(12,968,839.01)</b> | <b>(12,829,992.58)</b> | <b>(14,051,275.73)</b> | <b>(180,936,477.52)</b> | <b>(180,029,409.00)</b>  | <b>(907,068.52)</b> |
|                       | BMO consolidated balance - opening balance                          |           | 26,364,827.54          | 20,050,971.88          | 11,947,075.21          | 3,255,242.77           | (2,178,132.30)         | 10,527,930.00          | 6,126,136.78           | 2,825,527.44           | (450,114.39)           | 3,651,599.37           | 16,225,883.73          | 14,092,375.65          |                         |                          |                     |
|                       | Add: Total Inflows  |           | 15,261,049.42          | 7,633,311.63           | 6,477,578.03           | 6,997,308.57           | 24,310,375.09          | 29,656,211.03          | 18,504,241.69          | 8,852,133.99           | 16,680,932.54          | 25,543,123.37          | 10,696,484.50          | 10,297,973.26          |                         |                          |                     |
|                       | Less: Total Outflows  |           | (21,574,905.08)        | (15,737,208.30)        | (15,169,410.47)        | (12,430,683.64)        | (11,604,312.79)        | (34,058,004.25)        | (21,804,851.03)        | (12,127,775.86)        | (12,579,218.78)        | (12,968,839.01)        | (12,829,992.58)        | (14,051,275.73)        |                         |                          |                     |
|                       | Ending consolidated Cash Balance                                    |           | 20,050,971.88          | 11,947,075.21          | 3,255,242.77           | (2,178,132.30)         | 10,527,930.00          | 6,126,136.78           | 2,825,527.44           | (450,114.43)           | 3,651,599.37           | 16,225,883.73          | 14,092,375.65          | 10,339,073.18          |                         |                          |                     |
|                       | Short term operating cash investment                                |           |                        |                        |                        |                        |                        | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   | <b>16,000,000.00</b>   |                         |                          |                     |
|                       | <b>Adjusted cash balance</b>  |           | <b>20,050,971.88</b>   | <b>11,947,075.21</b>   | <b>3,255,242.77</b>    | <b>(2,178,132.30)</b>  | <b>10,527,930.00</b>   | <b>22,126,136.78</b>   | <b>18,825,527.44</b>   | <b>15,549,885.57</b>   | <b>19,651,599.37</b>   | <b>32,225,883.73</b>   | <b>30,092,375.65</b>   | <b>26,339,073.18</b>   |                         |                          |                     |
|                       | Balance as per bank statement                                       |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | 10,339,073.18          |                         |                          |                     |
|                       | Adj: outstanding cheques issued                                     |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | (750,255.69)           |                         |                          |                     |
|                       | Add: Research restricted funds /advancement                         |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | 7,793,812.60           |                         |                          |                     |
|                       | Accrued revenues (OSAP/EDI)   |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | (9,799.93)             |                         |                          |                     |
|                       | Add: CTC and CIC  |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | 320,612.28             |                         |                          |                     |
|                       | less: IBM Credit Facility   |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | 6,000,000.00           |                         |                          |                     |
|                       | Total   |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | (10,000.00)            |                         |                          |                     |
|                       | Cash balance as per financial statement                             |           |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        |                        | <u>23,683,442.44</u>   |                         |                          |                     |

Notes:

- N1** Increase in CN \$500k, decrease in BOG (\$2.4M) .
- N2** Student tuition due to lower enrolment
- N3** Approx \$.223 mil decrease in actual revenues to budget for Purchase services - (Bookstore \$223k + Parking \$60k) plus CIC/CTC revenues of \$1.4 mil
- N4** Pending New hires and cost saving from unused JIQ process allocation
- N5** Reduced OPEX spending and reserves . Expenditures includes research expenses of 1.8mil
- N6** Purchased Services expenses exceed forecast by \$1,410k as the forecast did not include \$1,140k in overhead administration charges and \$440k increase in utility costs.

*Draft Consolidated Financial Statements of*

**UNIVERSITY OF ONTARIO  
INSTITUTE OF TECHNOLOGY**

*For the year ended March 31, 2015*

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Consolidated Financial Statements**  
**Table of Contents**  
**For the year ended March 31, 2015**

---

|   | <u>Page</u> |
|---|-------------|
| <b>Independent Auditors' Report</b>             |             |
| Consolidated Statement of Financial Position    | 1           |
| Consolidated Statement of Operations            | 2           |
| Consolidated Statement of Changes in Net Assets | 3           |
| Consolidated Statement of Cash Flows            | 4           |
| Notes to the Consolidated Financial Statements  | 5-19        |

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Consolidated Statement of Financial Position**  
**As at March 31, 2015**

|  | <u>2015</u>           | <u>2014</u>           |
|--|-----------------------|-----------------------|
| <b>ASSETS</b>  |                       |                       |
| <b>CURRENT</b>   |                       |                       |
| Cash and Cash Equivalents (Note 4)   | \$ 23,683,442         | \$ 29,002,551         |
| Short-term investments (Note 5)  | 10,000,000            | -                     |
| Grant receivable   | 6,209,269             | 6,577,708             |
| Other accounts receivable (Allowance for doubtful<br>accounts \$295,217, 2014 - \$292,235) | 7,562,296             | 7,994,604             |
| Inventories  | 290,484               | 316,134               |
| Prepaid expenses and deposits  | 1,590,363             | 1,430,358             |
|  | <b>49,335,854</b>     | <b>45,321,355</b>     |
| INVESTMENTS (Note 2)   | 36,434,687            | 38,681,084            |
| CAPITAL ASSETS (Note 3)  | 414,786,489           | 428,030,446           |
| <b>TOTAL ASSETS</b>  | <b>\$ 500,557,030</b> | <b>\$ 512,032,885</b> |
| <b>LIABILITIES</b>   |                       |                       |
| <b>CURRENT AND LONG-TERM LIABILITIES</b>   |                       |                       |
| Accounts payable and accrued liabilities (Notes 6 and 13)                                  | \$ 25,263,118         | \$ 29,365,430         |
| Deferred revenue (Note 7)  | 20,777,419            | 20,823,200            |
| Current portion of other long-term debt (Note 8)   | 5,153,978             | 4,856,796             |
| Current portion of obligations under capital leases (Note 9)                               | 296,208               | 226,270               |
| Current portion of long-term debenture debt (Note 10)                                      | 4,800,522             | 4,509,572             |
|  | <b>56,291,245</b>     | <b>59,781,268</b>     |
| OTHER LONG-TERM DEBT (Note 8)  | 11,867,700            | 17,021,235            |
| LONG TERM OBLIGATIONS UNDER CAPITAL LEASES (Note 9)  | 38,821,864            | 38,755,187            |
| LONG-TERM DEBENTURE DEBT (Note 10)   | 180,611,425           | 185,411,947           |
| DEFERRED CAPITAL CONTRIBUTIONS (Note 11)   | 170,092,845           | 178,068,679           |
|  | <b>457,685,079</b>    | <b>479,038,316</b>    |
| <b>Net Assets / (deficit)</b>  |                       |                       |
| UNRESTRICTED   | (22,571,545)          | (26,007,017)          |
| INVESTED IN CAPITAL ASSETS (Note 14)   | 19,404,133            | 20,073,981            |
| INTERNALLY RESTRICTED (Note 15)  | 29,812,857            | 23,844,724            |
| ENDOWMENTS (Note 16)   | 16,226,506            | 15,082,881            |
|  | <b>42,871,951</b>     | <b>32,994,569</b>     |
| Contingencies and Contractual Commitments (Note 20)  |                       |                       |
| <b>TOTAL LIABILITIES AND NET ASSETS</b>  | <b>\$ 500,557,030</b> | <b>\$ 512,032,885</b> |

*See accompanying notes to the consolidated financial statements*

Approved by:

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Consolidated Statement of Operations**  
**For the year ended March 31, 2015**

|  | <u>2015</u>         | <u>2014</u>          |
|--|---------------------|----------------------|
| <b>REVENUE</b>                                 |                     |                      |
| Grants - operating & research (Note 12)        | \$ 68,254,617       | \$ 66,176,518        |
| Grants - Debenture                             | 13,500,000          | 13,500,000           |
| Donations                                      | 1,471,688           | 1,775,099            |
| Student tuition fees                           | 66,978,284          | 61,721,748           |
| Student ancillary fees                         | 15,277,495          | 14,943,821           |
| Revenues from ancillary operations (Note 13)   | 3,485,203           | 3,801,606            |
| Other income                                   | 12,460,492          | 13,929,680           |
| Amortization of deferred capital contributions | 8,818,013           | 8,753,987            |
| Interest revenue                               | 677,813             | 647,910              |
| Realized / Unrealized gain on investments      | 1,269,611           | 2,114,308            |
| Gain on disposal of assets                     | 534,242             | 277,089              |
|  | <b>192,727,458</b>  | <b>187,641,766</b>   |
| <b>EXPENSES</b>                                |                     |                      |
| Salaries and benefits                          | 88,796,164          | 80,736,089           |
| Supplies and expenses                          | 35,536,995          | 35,517,365           |
| Purchased Services (Note 13)                   | 16,346,646          | 17,255,868           |
| Interest expense                               | 15,767,077          | 16,335,127           |
| Amortization of capital assets                 | 26,744,598          | 25,746,528           |
| Professional fees                              | 802,221             | 781,618              |
|  | <b>183,993,701</b>  | <b>176,372,595</b>   |
| <b>Excess of revenue over expenses</b>         | <b>\$ 8,733,757</b> | <b>\$ 11,269,171</b> |

*See accompanying notes to the consolidated financial statements*

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Consolidated Statement of Changes in Net Assets**  
**For the year ended March 31, 2015**

|  | <u>Unrestricted</u>    | <u>Invested in<br/>Capital Assets</u><br>(Note 14) | <u>Internally<br/>Restricted</u><br>(Note 15) | <u>Endowments</u><br>(Note 16) | <u>Total 2015</u>    | <u>Total 2014</u>    |
|--|------------------------|--|---|--------------------------------|----------------------|----------------------|
| <b>Balance - Beginning of Year</b>     | \$ (26,007,017)        | \$ 20,073,981                                      | \$ 23,844,724                                 | \$ 15,082,881                  | \$ 32,994,569        | \$ 21,232,446        |
| Excess / (deficiency)                  |                        |  |   |                                |                      |                      |
| Revenue over Expenses                  | 26,660,342             | (17,926,585)                                       | -   | -                              | 8,733,757            | 11,269,171           |
| Interfund Transfer                     | (5,968,133)            | -  | 5,968,133                                     | -                              | -                    | -                    |
| Investment in Capital Assets (Note 14) | (17,256,737)           | 17,256,737   | -   | -                              | -                    | -                    |
| Endowment Contributions (Note 16)      | -                      | -  | -   | 1,143,625                      | 1,143,625            | 167,952              |
| Donation of Land (Note 3)              | -                      | -  | -   | -                              | -                    | 325,000              |
| <b>Net changes during the year</b>     | <b>3,435,472</b>       | <b>(669,848)</b>                                   | <b>5,968,133</b>                              | <b>1,143,625</b>               | <b>9,877,382</b>     | <b>11,762,123</b>    |
| <b>Balance - End of Year</b>           | <b>\$ (22,571,545)</b> | <b>\$ 19,404,133</b>                               | <b>\$ 29,812,857</b>                          | <b>\$ 16,226,506</b>           | <b>\$ 42,871,951</b> | <b>\$ 32,994,569</b> |

*See accompanying notes to the consolidated financial statements*



**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Consolidated Statement of Cash Flows**  
**For the year ended March 31, 2015**

|   | <u>2015</u>          | <u>2014</u>          |
|---|----------------------|----------------------|
| <b>NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES</b> |                      |                      |
| <b>OPERATING</b>  |                      |                      |
| Excess of revenue over expenses   | \$ 8,733,757         | \$ 11,269,171        |
| Items not affecting cash:   |                      |                      |
| Amortization of capital assets  | 26,744,598           | 25,746,528           |
| Amortization of deferred capital contributions                          | (8,818,013)          | (8,753,987)          |
| Gain on disposal of capital assets                                      | (534,242)            | (277,089)            |
| Realized / Unrealized gains on investments                              | (1,269,611)          | (2,114,308)          |
|   | <b>24,856,489</b>    | <b>25,870,315</b>    |
| Working Capital   |                      |                      |
| Grant and other accounts receivable                                     | 800,747              | 674,842              |
| Prepaid expenses and deposits   | (160,005)            | 6,500                |
| Inventories   | 25,650               | (70,564)             |
| Accounts payable and accrued liabilities                                | (4,102,312)          | 2,793,016            |
| Deferred revenue  | (45,781)             | (28,742)             |
|   | <b>21,374,788</b>    | <b>29,245,367</b>    |
| <b>INVESTING</b>  |                      |                      |
| Purchase of capital assets  | (13,500,641)         | (16,813,958)         |
| Proceeds on disposal of capital assets                                  | 534,242              | 291,793              |
| Investments   | (6,483,992)          | 3,744,483            |
|   | <b>(19,450,391)</b>  | <b>(12,777,682)</b>  |
| <b>FINANCING</b>  |                      |                      |
| Repayment of long-term debt   | (9,365,925)          | (9,939,490)          |
| Endowment contributions   | 1,143,625            | 167,952              |
| Repayment of obligations under capital leases                           | 136,615              | 119,709              |
| Deferred capital contributions  | 842,179              | 618,945              |
|   | <b>(7,243,506)</b>   | <b>(9,032,884)</b>   |
| <b>NET CASH (OUTFLOW) / INFLOW</b>                                      | <b>(5,319,109)</b>   | <b>7,434,801</b>     |
| <b>CASH &amp; CASH EQUIVALENTS BALANCE, BEGINNING OF YEAR</b>           | <b>29,002,551</b>    | <b>21,567,750</b>    |
| <b>CASH &amp; CASH EQUIVALENTS BALANCE, END OF YEAR</b>                 | <b>\$ 23,683,442</b> | <b>\$ 29,002,551</b> |
| <b>SUPPLEMENTARY CASH FLOW INFORMATION</b>                              |                      |                      |
| Interest paid   | \$ 15,865,630        | \$ 16,437,941        |
| Other assets, transferred to capital assets                             | -                    | \$ 6,831,815         |
| Donation of building  | -                    | \$ 325,000           |

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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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.

## **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. These consolidated financial statements reflect the assets, liabilities, net assets, revenue and expenses of all the operations controlled by the University.

On November 1, 2009, the Campus Childcare Centre Inc. (“CCC”) was incorporated as a separate legal entity with a fiscal year ended April 30. Its purpose is to provide daycare facilities to the children of faculty, staff and students of the University and Durham College, as its first priority, and community families. CCC is controlled by the University and its financial results to March 31, 2015 are included in the Consolidated Financial Statements of the University.

On February 1, 2012, the Automotive Center of Excellence (“ACE”) commenced its operations as a test facility for General Motors of Canada and other commercial customers who are seeking to create, test and validate paradigm-shifting innovations with a focus on bringing them to market as rapidly as possible. ACE is a wholly owned department of the University and its financial results to March 31, 2015 are included in the Consolidated Financial Statements of the University.

These 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 period to which they relate. Grants earned but not received at the end of an accounting period are accrued. When a portion of a grant relates to a future period, it is deferred and recognized in that subsequent period.

Tuition fees are deferred to the extent that related courses extend beyond the fiscal year of the University.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

---

**1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)**

Student fees are recognized as revenue when courses are provided.

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 related expenses are incurred. Pledged donations are not recorded until received due to the uncertainty involved in their collection.

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/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 as 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.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**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 average useful lives, which have been estimated to be as follows:

|                        |                              |
|------------------------|------------------------------|
| Buildings              | 20 – 40 years                |
| Building renovations   | 10 years                     |
| Leasehold improvements | over lease term              |
| Furniture and fixtures | 5 years                      |
| Laptops                | 2 – 3 years                  |
| Computer equipment     | 3 years                      |
| Vehicles               | 3 years                      |
| Major equipment        | 10 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.

*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.

*i) Contributed services*

The University receives a number of contributed 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.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)**

*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. Actual results could differ from these estimates.

**2. INVESTMENTS**

|                          | 2015                 |                      | 2014                 |                      |
|--------------------------|----------------------|----------------------|----------------------|----------------------|
|                          | Cost                 | Fair Value           | Cost                 | Fair Value           |
| <b>Equities</b>          | \$ 10,192,953        | \$ 12,665,330        | \$ 9,503,957         | \$ 11,430,917        |
| <b>Fixed income</b>      | 6,400,486            | 6,750,911            | 5,931,145            | 5,987,808            |
| <b>Money Market/Cash</b> | 560,624              | 560,624              | 604,686              | 604,686              |
| <b>Held in Trust</b>     | 15,649,875           | 16,457,822           | 20,006,600           | 20,657,673           |
|                          | <b>\$ 32,803,938</b> | <b>\$ 36,434,687</b> | <b>\$ 36,046,388</b> | <b>\$ 38,681,084</b> |

Investments held in trust represent the principal on the remaining proceeds of a loan of \$16,457,822 (2014 - \$20,657,673) that the University received from the Ontario Financing Authority in February 2012 (Note 8), and which the University then applied for the purpose of paying BNY Trust Company of Canada (“BNY”). These funds are held by BNY pursuant to Section 6.01(h) of the Supplemental Trust Indenture, pursuant to which the University’s Series A Debentures were issued. The funds held in trust comprise of both fixed income and money market investments.

*(a) Credit, interest rate and maturity risk:*

The value of fixed income securities will and generally rise 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 various Canadian government and corporate bonds and individual mortgage holdings. The bonds bear interest rates ranging from 1.5% to 10.3% (2014 – 1.2% to 12.2%) and have maturity dates ranging from April 27, 2015 to December 31, 2099 (2014 - April 15, 2014 to December 31, 2099).

*(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 company, hedges against foreign exchange risks. There has been no change in the University’s hedging policy from 2014.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

**2. INVESTMENT**

**3. S (continued)**

(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.

(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 quote market.

**3. CAPITAL ASSETS**

Capital assets consist of:

|                              | 2015                             |  |                            |                             |                       | 2014                  |
|------------------------------|----------------------------------|--|----------------------------|-----------------------------|-----------------------|-----------------------|
|                              | Cost                             |  | Balance,<br>End<br>of Year | Accumulated<br>Amortization | Net Book<br>Value     | Net Book<br>Value     |
|                              | Balance,<br>Beginning<br>of Year | Additions<br>/Transfers<br>/ Disposals |                            |                             |                       |                       |
| Land                         | \$ 8,456,815                     | \$ -                                   | \$ 8,456,815               | \$ -                        | \$ 8,456,815          | \$ 8,456,815          |
| Buildings                    | 389,954,592                      | 1,412,229                              | 391,366,821                | 80,064,768                  | 311,302,053           | 319,781,515           |
| Building Renovations         | 18,678,682                       | 2,954,748                              | 21,633,430                 | 10,113,521                  | 11,519,909            | 10,341,134            |
| Leasehold Improvements       | 3,375,262                        | -                                      | 3,375,262                  | 683,628                     | 2,691,634             | 2,935,387             |
| Furniture and Fixtures       | 14,990,150                       | 333,752                                | 15,323,902                 | 13,224,332                  | 2,099,570             | 2,738,824             |
| Laptops                      | 20,075,106                       | 1,980,473                              | 22,055,579                 | 16,084,314                  | 5,971,265             | 5,867,099             |
| Computer equipment           | 11,338,173                       | 2,369,561                              | 13,707,734                 | 10,645,100                  | 3,062,634             | 2,301,654             |
| Vehicles                     | 144,051                          | 20,446                                 | 164,497                    | 127,321                     | 37,176                | 55,581                |
| Major Equipment              | 60,920,780                       | 2,088,046                              | 63,008,826                 | 28,313,614                  | 34,695,212            | 38,464,109            |
| Construction-in-progress     | 1,462,780                        | (1,462,780)                            | -                          | -                           | -                     | 1,462,780             |
|                              | <b>\$ 529,396,391</b>            | <b>\$ 9,696,475</b>                    | <b>\$ 539,092,866</b>      | <b>\$ 159,256,598</b>       | <b>\$ 379,836,268</b> | <b>\$ 392,404,898</b> |
| Assets under Capital leases: |                                  |  |                            |                             |                       |                       |
| Land                         | 2,300,000                        | -                                      | 2,300,000                  | -                           | 2,300,000             | 2,300,000             |
| Buildings                    | 35,689,192                       | -                                      | 35,689,192                 | 3,038,971                   | 32,650,221            | 33,325,548            |
| Total                        | <b>\$ 567,385,583</b>            | <b>\$ 9,696,475</b>                    | <b>\$ 577,082,058</b>      | <b>\$ 162,295,569</b>       | <b>\$ 414,786,489</b> | <b>\$ 428,030,446</b> |

Included in Land and Buildings are two specific assets donated to the University in 2009 and 2010 respectively (2009 – Dulemba Property: Land \$325,000; 2010 - Regent Theater: Land \$300,000 and Buildings \$1,550,000).

Amortization of assets under capital leases for the current year totaled \$675,327 (2014 - \$675,327).

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**4. CASH AND CASH EQUIVALENTS**

|  | <u>2015</u>          | <u>2014</u>          |
|--|----------------------|----------------------|
| Bank of Montreal, credit facility        | \$ 8,083,679         | \$ 21,526,280        |
| Bank of Montreal, cash balances          | 9,234,926            | 11,667,631           |
| BMO Nesbitt Burns, high interest savings | 6,000,000            | -                    |
| IBM, credit facility drawn               | (10,000)             | (5,000,000)          |
| Royal Bank of Canada, cash balances      | 40,893               | 173,623              |
| Harris Bank, cash balances               | 11,782               | 109,082              |
| Other, balances                          | 322,162              | 525,935              |
|  | <u>\$ 23,683,442</u> | <u>\$ 29,002,551</u> |

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, 2015, the University utilized, on a cash consolidated basis, nil (2014 - nil) of the operating line of credit.

The University also had a credit facility agreement with IBM Global Financing, which provides for a revolving operating line of credit up to \$5,000,000 bearing interest at prime plus 0.25%. At March 31, 2014, the University utilized \$5,000,000 of the operating line of credit. During fiscal year 2015, \$4,990,000 was repaid, leaving a balance of \$10,000 owed to IBM as at March 31, 2015.

**5. SHORT-TERM INVESTMENTS**

In September 2014, the University invested \$10,000,000 of surplus operating cash in GIC's with a maturity date of 1 year.

**6. ACCOUNTS PAYABLE AND ACCRUED LIABILITIES**

Included in accounts payable and accrued liabilities are government remittances payable of \$210,878 (2014 - \$197,576), relating to payroll related taxes.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**7. DEFERRED REVENUE**

Deferred revenue represents revenues related to expenses of future periods. The balance comprised the following:

|           | <u>2015</u>          | <u>2014</u>          |
|-----------|----------------------|----------------------|
| Research  | \$ 5,436,549         | \$ 6,227,980         |
| Donations | 2,611,544            | 2,625,846            |
| Tuition   | 7,370,175            | 6,884,430            |
| Ancillary | 4,081,616            | 4,306,798            |
| Other     | 1,277,535            | 778,146              |
|           | <u>\$ 20,777,419</u> | <u>\$ 20,823,200</u> |

**8. OTHER LONG-TERM DEBT**

The University has incurred debts in the amount of \$17,021,678 through third parties related to the financing of the debenture (offset by amounts held in trust, as disclosed in Note 2 and Note 10), lab equipment and leasehold improvements in our downtown locations. Other long-term debt comprised the following:

|   | <u>2015</u>          | <u>2014</u>          |
|---|----------------------|----------------------|
| Unsecured loan, bearing fixed interest rate at 2.77% per annum, repayable semi-annually, with final instalment due October 15, 2017 | \$ 15,411,947        | \$ 19,921,518        |
| Other unsecured loans, payable monthly / quarterly over a period of 1 to 26 years and at interest rates ranging from 0% to 9.3%     | 1,609,731            | 1,956,513            |
|   | <u>\$ 17,021,678</u> | <u>\$ 21,878,031</u> |

Total principal repayments in each of the next five years and thereafter for other long-term debt are as follows:

|                          |                      |
|--------------------------|----------------------|
| 2016                     | \$ 5,153,978         |
| 2017                     | 5,477,658            |
| 2018                     | 5,707,308            |
| 2019                     | 132,672              |
| 2020                     | 124,139              |
| Thereafter, through 2041 | 425,923              |
|                          | <u>17,021,678</u>    |
| Less: current portion    | 5,153,978            |
|                          | <u>\$ 11,867,700</u> |



**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**8. OTHER LONG-TERM DEBT (continued)**

The fair value of the other long-term debt is \$17,508,413 (2014 - \$22,305,319). 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.

**9. 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:

|   |    |                   |
|---|----|-------------------|
| 2016  | \$ | 3,285,287         |
| 2017  |    | 3,664,911         |
| 2018  |    | 3,719,641         |
| 2019  |    | 3,746,878         |
| 2020  |    | 3,774,388         |
| Thereafter, through 2041  |    | <u>77,232,082</u> |
| Total minimum lease payments  |    | 95,423,187        |
| Less: amount representing interest at<br>rates ranging from 6.50 to 9.30% |    | <u>56,305,115</u> |
| Present value of net minimum capital<br>lease payments                    |    | 39,118,072        |
| Less: current portion of principal obligations                            |    | 296,208           |
|   | \$ | <u>38,821,864</u> |

Interest of \$3,244,297 (2014 - \$3,227,391) relating to capital lease obligations has been included in interest expense. The total amount of assets under capital leases is \$37,989,192 (2014 - \$37,989,192) with related accumulated amortization of \$3,038,971 (2014 - \$2,363,644).

The fair value of the capital leases is \$44,471,419 (2014 - \$42,864,253). 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.

**10. 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 has been funded through special one-time grants from the Ministry of Training, Colleges and Universities ("MTCU"), and by the University through donations and the operating line of credit.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**10. LONG-TERM DEBENTURE DEBT (continued)**

On August 12, 2011, an agreement was signed between the University and MTCU 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, 2015 is \$165,010,059 (2014 - \$148,509,053), \$128,987,712 funded by MTCU and \$36,022,347 funded by the University.

The University has deposited a minimum of \$50,000,000, less the aggregate principal repaid to-date of \$34,588,054. The fair value of funds amounting to \$16,457,822 are held in trust on behalf of the University (Note 2).

As at March 31, 2015, \$217,431,043 (2014 - \$217,431,043) had been used to finance capital assets.

|                          |    |                    |
|--------------------------|----|--------------------|
| 2016                     | \$ | 4,800,522          |
| 2017                     |    | 5,110,244          |
| 2018                     |    | 5,439,949          |
| 2019                     |    | 5,790,925          |
| 2020                     |    | 6,164,546          |
| Thereafter, through 2034 |    | 158,105,761        |
| Total minimum payments   |    | 185,411,947        |
| Less: current portion    |    | 4,800,522          |
|                          | \$ | <u>180,611,425</u> |

The fair value of the long-term debenture debt is \$239,038,445 (2014 - \$220,199,044). 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. DEFERRED CAPITAL CONTRIBUTIONS**

Deferred capital contributions represent the unamortized amount of grants and donations for the purchase of capital assets.

The changes in the balance consist of the following:

|                                       | <u>2015</u>           | <u>2014</u>           |
|---------------------------------------|-----------------------|-----------------------|
| Balance - beginning of year           | \$ 178,068,679        | \$ 186,203,721        |
| Contributions                         | 842,179               | 618,945               |
| Recognized as revenue during the year | (8,818,013)           | (8,753,987)           |
| Balance - end of year                 | <u>\$ 170,092,845</u> | <u>\$ 178,068,679</u> |

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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## 12. GRANT REVENUES

Grant revenues are split as follows:

|                             | <u>2015</u>          | <u>2014</u>          |
|-----------------------------|----------------------|----------------------|
| Operating                   | \$ 59,026,507        | \$ 57,624,896        |
| Externally funded research  | 9,228,110            | 8,551,622            |
| <b>Total grant revenues</b> | <b>\$ 68,254,617</b> | <b>\$ 66,176,518</b> |

## 13. 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.

The ancillary operations are managed by Durham College and a portion of the net contribution is allocated to the University based on agreed metrics.

Amounts invoiced from Durham College for purchased services expense, including expense from ancillary operations, are recorded as expenses under "Purchased Services" in the consolidated financial statements. Revenues from ancillary operations are recorded as revenues and are included under "Revenues from ancillary operations" in the Consolidated Financial Statements.

On March 11, 2015, the University and Durham College signed a Service Level Agreement ("SLA") covering Facilities and Ancillary, Information Technology Services and Student Services. This SLA outlines the guiding principles, work description documents to be adopted by both institutions and the methodology to determine administrative overhead costs.

The balance owing to Durham College for purchased services costs, included in accounts payable and accrued liabilities, is non-interest bearing with no fixed terms of repayment, and will be paid during the next fiscal year.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

**14. INVESTED IN CAPITAL ASSETS**

|  | <u>2015</u>          | <u>2014</u>          |
|--|----------------------|----------------------|
| Capital assets - net book value                            | \$ 414,786,489       | \$ 428,030,446       |
| Less amount financed by deferred capital contributions     | (170,092,845)        | (178,068,679)        |
| Less amount financed by long-term debt (Notes 8, 9 and 10) | (225,289,511)        | (229,887,786)        |
| <b>Investment in capital assets</b>                        | <b>\$ 19,404,133</b> | <b>\$ 20,073,981</b> |

|   | <u>2015</u>          | <u>2014</u>          |
|---|----------------------|----------------------|
| Net change in investment in capital assets: |                      |                      |
| Purchases of capital assets                 | \$ 13,500,641        | \$ 23,645,773        |
| Donation of Land                            | -                    | 325,000              |
| Amounts funded by:                          |                      |                      |
| Deferred capital contributions              | (842,179)            | (618,945)            |
| Long-term debt                              | (362,884)            | (331,777)            |
| Repayment of long-term debt                 | 4,961,159            | 5,779,134            |
|   | <b>\$ 17,256,737</b> | <b>\$ 28,799,185</b> |

|  | <u>2015</u>            | <u>2014</u>            |
|--|------------------------|------------------------|
| Amortization of deferred contributions related to capital assets | \$ 8,818,013           | \$ 8,753,987           |
| Less amortization of capital assets                              | (26,744,598)           | (25,746,528)           |
|  | <b>\$ (17,926,585)</b> | <b>\$ (16,992,541)</b> |
| Net change during the year                                       | <b>\$ (669,848)</b>    | <b>\$ 11,806,644</b>   |

**15. 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.

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**15. INTERNALLY RESTRICTED NET ASSETS (continued)**

Details of the internally restricted net assets are as follows:

|                                  | <u>2015</u>          | <u>2014</u>          |
|----------------------------------|----------------------|----------------------|
| Balance comprised the following: |                      |                      |
| Research related activities      | \$ 4,960,180         | \$ 4,728,618         |
| Capital related activities       | 17,600,871           | 13,175,994           |
| Student awards                   | 822,000              | 980,000              |
| Working capital                  | 5,000,000            | 4,000,000            |
| Other                            | 1,429,806            | 960,112              |
|                                  | <u>\$ 29,812,857</u> | <u>\$ 23,844,724</u> |

**16. 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 Minister of Education announced that the Ontario Trust for Student Support would be discontinued as of the end of Fiscal 2012 fundraising year. Consequently, there is no longer any matching for cash donations from the prior year or current year's pledges.

The balance of endowments consists of the following:

|                 | <u>2015</u>          | <u>2014</u>          |
|-----------------|----------------------|----------------------|
| OSOTF (Note 17) | \$ 1,574,547         | \$ 1,548,982         |
| OTSS (Note 18)  | 12,352,945           | 11,895,778           |
| Other           | 2,299,014            | 1,638,121            |
|                 | <u>\$ 16,226,506</u> | <u>\$ 15,082,881</u> |

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**17. ONTARIO STUDENT OPPORTUNITY TRUST FUNDS**

The restricted endowment fund includes funds granted by the Government of Ontario for OSOTF. The investment revenue earned on those funds must be used for financial aid of Ontario students.

The University has recorded the following amounts under the program:

**Schedule of Changes in Endowment Fund Balance**

|   | <u>2015</u>         | <u>2014</u>         |
|---|---------------------|---------------------|
| Endowment fund balance, beginning of year | \$ 1,548,982        | \$ 1,539,348        |
| Preservation of capital                   | 25,565              | 9,634               |
| Endowment fund balance, end of year       | <u>\$ 1,574,547</u> | <u>\$ 1,548,982</u> |

**Schedule of Changes in Expendable Funds Available for Awards**

|                                       | <u>2015</u>       | <u>2014</u>       |
|---------------------------------------|-------------------|-------------------|
| Expendable balance, beginning of year | \$ 194,075        | \$ 203,614        |
| Realized investment income            | 100,166           | 30,095            |
| Less: Preservation of capital         | (25,565)          | (9,634)           |
| Bursaries awarded                     | (15,000)          | (30,000)          |
| Expendable balance, end of year       | <u>\$ 253,676</u> | <u>\$ 194,075</u> |
| <br>                                  |                   |                   |
| Number of bursaries awarded           | <u>3</u>          | <u>5</u>          |

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**18. ONTARIO TRUST FOR STUDENT SUPPORT**

The restricted endowment fund includes funds generated by the Government of Ontario for OTSS. The investment revenue earned on those funds must be used for financial aid of Ontario students.

The University has recorded the following amounts under the program:

|                          | <u>2015</u>       | <u>2014</u>      |
|--------------------------|-------------------|------------------|
| Cash donations matched   | \$ -              | \$ -             |
| Unmatched Cash Donations | <b>188,643</b>    | 57,909           |
| Total cash donations     | <b>\$ 188,643</b> | <b>\$ 57,909</b> |

**Schedule of Changes in Endowment Fund Balance**

|  | <u>2015</u>          | <u>2014</u>          |
|--|----------------------|----------------------|
| Endowment balance, beginning of year         | \$ <b>11,895,778</b> | \$ 11,737,914        |
| Eligible cash donations                      | <b>188,643</b>       | 57,909               |
| Matching funds received/receivable from MTCU | -                    | -                    |
| Preservation of capital                      | <b>268,524</b>       | 99,955               |
| Endowment fund balance, end of year          | <b>\$ 12,352,945</b> | <b>\$ 11,895,778</b> |

**Schedule of Changes in Expendable Funds  
Available for Awards**

|                                       | <u>2015</u>       | <u>2014</u>       |
|---------------------------------------|-------------------|-------------------|
| Expendable balance, beginning of year | \$ <b>517,326</b> | \$ 535,238        |
| Realized investment income            | <b>899,110</b>    | 313,368           |
| Less: Preservation of capital         | <b>(268,524)</b>  | (99,955)          |
| Bursaries awarded                     | <b>(320,260)</b>  | (231,325)         |
| Expendable balance, end of year       | <b>\$ 827,652</b> | <b>\$ 517,326</b> |

In the current year, 224 bursaries valued at \$344,260 were disbursed from the total endowed funds (2014 – 186 bursaries valued at \$268,325).

**19. PENSION PLAN**

All employees of the University are members of a defined contribution pension plan. Employees must contribute a minimum of 3% of their earnings to this plan with an election to increase these contributions to a total of 6% of contributory earnings. The University must contribute 8% of an employee's contributory earnings, with 6% allocated to the pension plan and the remaining 2% allocated, upon the employee's election, to either the pension plan or the employee's health care expense account. Contributions made by the University to the pension plan during the year were \$4,337,461 (2014 - \$3,877,056).

**UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2015**

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**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. The outcome of these actions is not determinable as at March 31, 2015 and, accordingly, no provision has been made in these Consolidated Financial Statements for any liability which may result.

**(b) Contractual Commitments:**

Future minimum lease payments, exclusive of taxes and operating costs, for premises and equipment under operating leases at March 31, 2015 are as follows:

|            |           |                   |
|------------|-----------|-------------------|
| 2016       | \$        | 1,867,281         |
| 2017       |           | 1,928,749         |
| 2018       |           | 1,715,992         |
| 2019       |           | 1,591,975         |
| 2020       |           | 1,591,975         |
| Thereafter |           | 9,832,930         |
|            | <u>\$</u> | <u>18,528,902</u> |

**21. Comparative Information**

Certain comparative information have been reclassified to conform to the presentation adopted in the current year.





# Recommendations For Internal Restrictions

***“Working Capital Reserve “***      ***\$1M***

***“Operating Reserve”***              ***\$0.6M***

- Internally Funded Research
- Expendable Donation
- Student Fees

***“Capital Fund”***                      ***4.4M***

- Funding for scholarships
- Funding for laboratories
- Student Space Initiative

***Total Restricted***                      ***\$6.0M***



# Board of Governors

## Risk Management Update

Prepared by Elaine Wannamaker

Presented by Cheryl Foy

June 25, 2015

# Agenda

- Accomplishments
- 2015-16 Activities/Goals

# Accomplishments

## Consultation & Foundation

- After interviewing the senior academic and administrative teams, developed a list of key strategic risks against institutional priorities
- Established and kicked off the Risk Management Committee and finalized the Committee Terms of Reference (two meetings to date)
- Finalized Risk Work Plan for 2015-16

# 2015-16 Activities/Goals

## Building

- With IT, creating a Risk Management internal web site for Committee members, updating UOIT Risk Management web site
- Finalizing the tool kit for ERM risk determination
- Conducting interviews with all areas regarding risk, compliance, and risk mitigation to develop draft risk plan
- Strategic review of draft risk plan
- Presentation of draft risk plan to A&F in April, 2016

# Questions?

- Relationship to Compliance Planning

# Compliance Update

Prepared by: Cheryl Foy and Nadia Jagar  
For Presentation to : Board of Governors  
By: Cheryl Foy  
Date: June 25, 2015

# Five Essential Elements of Corporate Compliance

Baker & McKenzie has distilled the key themes from the compliance program expectations of government regulators around the world into five essential elements of corporate compliance that should be present in every company's compliance program.





# Essential Elements of Corporate Compliance

## 13 Good Practices by the OECD on Internal Controls, Ethics, and Compliance

1. Risk assessment as basis for effective internal controls and compliance program
2. Policy that clearly and visibly states bribery is prohibited
3. Training – periodic, documented
4. Responsibility – individuals at all levels should be responsible for monitoring
5. Support from senior management – strong, explicit and visible
6. Oversight by senior corporate officers with sufficient resources, authority, and access to Board
7. Specific risk areas – promulgation and implementation programs to address key issues
8. Business partners due diligence
9. Accounting – effective internal controls for accurate books and records
10. Guidance – provision of advice to ensure compliance
11. Reporting violations confidentially with no retaliation
12. Discipline for violations of policy
13. Re-assessment – regular review and necessary revisions

# Compliance Elements - UOIT

- Board and SLT Support
- Delegated overall compliance responsibility to General Counsel
- A dedicated resource to coordinate compliance (Policy Analyst and Compliance Officer)
- Many compliance activities completed and underway (Contracts, Privacy, AODA, CASL, Policy work)
- Foundation for overall compliance planning embedded in risk management
- Training
- Regular guidance
- Enterprise Risk Management

# Updating Ongoing Activity Areas

- Contracts
- Policy Framework
- Legislative Compliance:
  - Records Management
  - Privacy
  - AODA
  - CASL

# Contract compliance: current status

## Templates

- Contract templates developed in research for:
  - Principal Investigator (PI) agreements
  - One-way and mutual data use agreements;
  - Research NDAs;
  - NSERC Engage agreements;
  - MITACS agreements
  - Standard industry contracts.
  - ACE NDAs
  - Professional Services agreements
  - Partner affiliation agreements
  - Donor agreements
- Additional templates created for:
  - International agreements (MOUs);
  - Student exchange agreements;
  - Visiting Scholar Letters
  - Clinical placement agreements;
  - ACE film license agreement.
- Review and development of templates for waivers underway.
- Review and development of templates for data hosting agreements underway.

## Database

- **Legal Suite**
- Customization of the database and user interface is complete based on consultation with key stakeholders (e.g. Research).
- Data entry and migration has begun with users in Legal and Research Services and will be ongoing.
- Key contracts (e.g. debenture agreement, leases, government agreements) have been entered into the database.

## Policy

- **Contract Management Framework**
  - Contract Management Policy
  - Legal Review of Contracts Policy
- Consultation with key stakeholders through winter 2015.
- Drafting underway with Policies to be brought for approval Fall 2015

## Awareness, Education & Resources

- Significant user engagement including increased legal review of contracts.
- “Contracts 101” development underway.
- Website redevelopment underway to:
  - provide increased user support;
  - Build capacity by providing readily available resources and tools to users.

# Policy Compliance: current status

## Policy

- Policy Framework and Procedures developed and approved in November 2014.
- Preliminary implementation underway.

## Policy Advisory Committee

- Committee formed under the new Framework; VPs consulted for appointments to the new committee.
- Initial meetings held in May and June 2015.

## Awareness, Education & Resources

- Templates developed and being implemented for:
  - Policies and Procedures
  - Policy Planning and Review
  - PAC Policy Assessment
- Website redevelopment underway to:
  - Make policy information more accessible.
  - Build capacity by providing readily available resources and tools to users.

# Policy Instruments: 2014-2015

The following chart details the policy instruments that the University Secretary's Office has provided resources and support for through 2014-2015.

| Research & Drafting   | Review & Drafting Feedback   | Formatting & Recommendations  |
|---|--|---|
| <ul style="list-style-type: none"> <li>• 11 Policy Instruments</li> <li>• Policy Framework and Procedures</li> <li>• Board of Governors Recruitment, Appointment and Leadership Policy</li> <li>• Board of Governors Elections Procedures</li> <li>• Academic Council Election Procedures</li> <li>• Student Association Accountability Policy</li> <li>• Board of Governors Meeting Policy and Procedures</li> <li>• Use of the Internal Auditor for Non-Audit Services Policy*</li> <li>• Legal Review of Contracts Policy*</li> <li>• Contract Management Policy*</li> </ul> | <ul style="list-style-type: none"> <li>• 15 Policy Instruments</li> <li>• Access Control Policy and Procedures</li> <li>• Third-Party Events Policy and Procedures</li> <li>• Recognition of Student Organizations Policy</li> <li>• Board of Governors Attendance Policy</li> <li>• Senior Appointments Policy and associated Procedures*</li> <li>• International Travel Policy and Procedures*</li> <li>• Working Alone Policy &amp; Procedures*</li> <li>• Ergonomics Guidelines*</li> </ul> | <ul style="list-style-type: none"> <li>• 15 Policy Instruments</li> <li>• Emergency Closures Policy and Procedures</li> <li>• Use of Internal Research Funds Policy and Procedures</li> <li>• Over-Expenditure of Research Funds Policy and Procedures</li> <li>• Posthumous Degrees Policy and Procedures</li> <li>• Gift Acceptance Policy and Procedures</li> <li>• SIPP and Asset Class Management Procedures</li> <li>• Expendable Funds Policy</li> <li>• Space Booking and Use Policy and Procedures*</li> </ul> |

\*Policy instruments marked with an asterisk are in progress

# Legislative Compliance (Privacy): current status

## Policy

- A review of privacy-related policies and procedures was completed as well as analysis and identification of policy and procedure gaps.
- Initiation of annual Privacy and Access compliance reporting.

## Consents

- Personal information collection notices and consents were reviewed and feedback drafted for the following areas:
  - General student consent (Academic Calendar)
  - Indigenous Student Services
  - Student Mental Health Services
  - Career Services
  - Human Resources:
    - Applicant Tracking System
    - Reference Consent and Authorization
  - Faculty of Education Children's Camps

## Awareness, Education & Resources

- Privacy and access information sessions were provided to 6 organizational units in 2014-2015.
  - Campus Security
  - Human Resources
  - Research Ethics Board (Part 1)
  - Faculty of Science
  - Assessment and Care Team (Student Mental Health)
  - University Works Student Employee Orientation

# Legislative Compliance

## AODA

- Assisted in gathering AODA compliance information and updates from key functional areas.
- Initiated external consultation and analysis of the University's compliance with regulatory requirements.

## CASL

- Identified and consulted with key organizational units to review potential commercial activities and provide direction on CASL implementation.
- Provided presentations and consultation to the following areas regarding their (potential) responsibilities under CASL:
  - Management Development Centre
  - Alumni
  - Registrar's Office
  - Regent Theatre
  - Varsity Athletics
  - Government Relations
- Provided model consent language for organizational units that manage distribution lists.
- Consulted with ITS on the development of a consent gathering mechanism for student communications;



# Key objectives 2015-2016 – Contracts

## Compliance

- Legal Suite
  - Expand functionality by providing read-only access to:
    - Additional staff in Research Services (e.g. all Grants Officers)
    - Finance
  - Collect and enter all contracts managed through the Office of Campus Infrastructure and Sustainability (Summer 2015) and provide read-only access to OCIS staff to support contract management;
  - Implement use of database to track policy development and review starting with the next approval ‘cycle’ (September 2015);
  - Begin entering all contracts for which the Legal Office has provided advise (Summer 2015);
  - Consider expansion of functionality to additional organizational units
- Policy
  - Complete work on a Contract Management Framework and associated policies (Fall 2015)
- Awareness, Education and Resources
  - Complete and deliver “Contracts 101” support to contract managers;
  - Website update to make templates and other contract support resources available to contract manager.

# Key objectives 2015-2016 – Policy Framework

- By-Law Project Review (GNHR)
- Transition from Administrative Code to Policy Library
  - New functional classification of policy instruments.
  - Website redevelopment to improve awareness of and accessibility to University policies.
- Development of:
  - Online resources for policy managers.
  - Communication tools to support policy consultation and implementation.
- Advance the work of the Policy Advisory Committee to provide support and feedback to policy managers.
- Provide training opportunities for policy managers to support capacity building in policy instrument development.
- Establish and implement a review cycle for all existing policy instruments.
- List of proposed policies regularly reviewed and prioritized by SLT

# Key objectives 2015-2016 - Privacy

- Privacy assessment with Service Areas and Faculties
  - A privacy assessment is intended to review the standards, controls and accountability for the management of personal information in order to identify and mitigate privacy risks.
  - Will capitalize on data inventory work completed through the Records Management and Banner Document Management projects.
  - Key outcome is a privacy impact analysis report that will help guide the development of policies, procedures and other resource to address privacy risks and reinforce a privacy culture.
- Review and revisions to UOIT Privacy Policy
  - Review and preliminary drafting (Summer 2015)
  - Consultation and Approval (Fall 2015)
- Development of online training resources to support access and privacy education (December 2015)
- Consultation, amendment and development of supporting Policies and Procedures.
  - Based on priorities identified in the privacy assessment and analysis of current policies and policy gaps.

# Key Objectives 2015-2016 – Other Legislative

## AODA

- Coordinate the drafting of a new multi-year University compliance plan with key organizational units (C&M, HR, Teaching and Learning, Library, OCIS).
- Coordinate responsible organizational areas to ensure completion of required regulatory reporting (December 2015).

## CASL

- Development of online resources and draft consent language to support organizational units.
- Complete and implement consent gathering process for student communications.

# Key Objectives: Overall Compliance Planning: 2015-16

- Identify current compliance obligations and document compliance activities through risk management questionnaire process
- Prepare Draft Compliance Report:
  - Compliance obligations
  - Compliance Activities
  - Authority and Responsibility
  - Identify gaps and plan for addressing them (including policy requirements)

# Discussion?

# Records Management Policy

Presented to: Board of  
Governors

Prepared by: Cheryl Foy and  
Niall O'Halloran

Date: June 25, 2015

# What is required?

- Have conducted extensive consultation with academic and administrative committees.
- Have received extensive feedback about UOIT's Records Management needs.
- Have a plan to gather more detailed compliance and operational requirements for records.

- **Approval of a motion:**

Whereas UOIT is preparing a Records Management Policy ("Policy") within the context of a Records Management Project ("Project");

Whereas the Policy is considered a compliance policy under the Policy Framework;

Whereas due to the broad scope of the Policy and its administrative implications, the following bodies have been consulted: Research Board, Provost's Advisory Committee on Integrated Planning, Curriculum and Program Review Committee, Graduate Studies Committee, Policy Advisory Committee;

Whereas the Curriculum and Program Review Committee, Graduate Studies Committee and Academic Council have all provided their support for approval of the Records Management Policy;

Whereas the Audit and Finance Committee has provided its support for approval of the Records Management Policy;

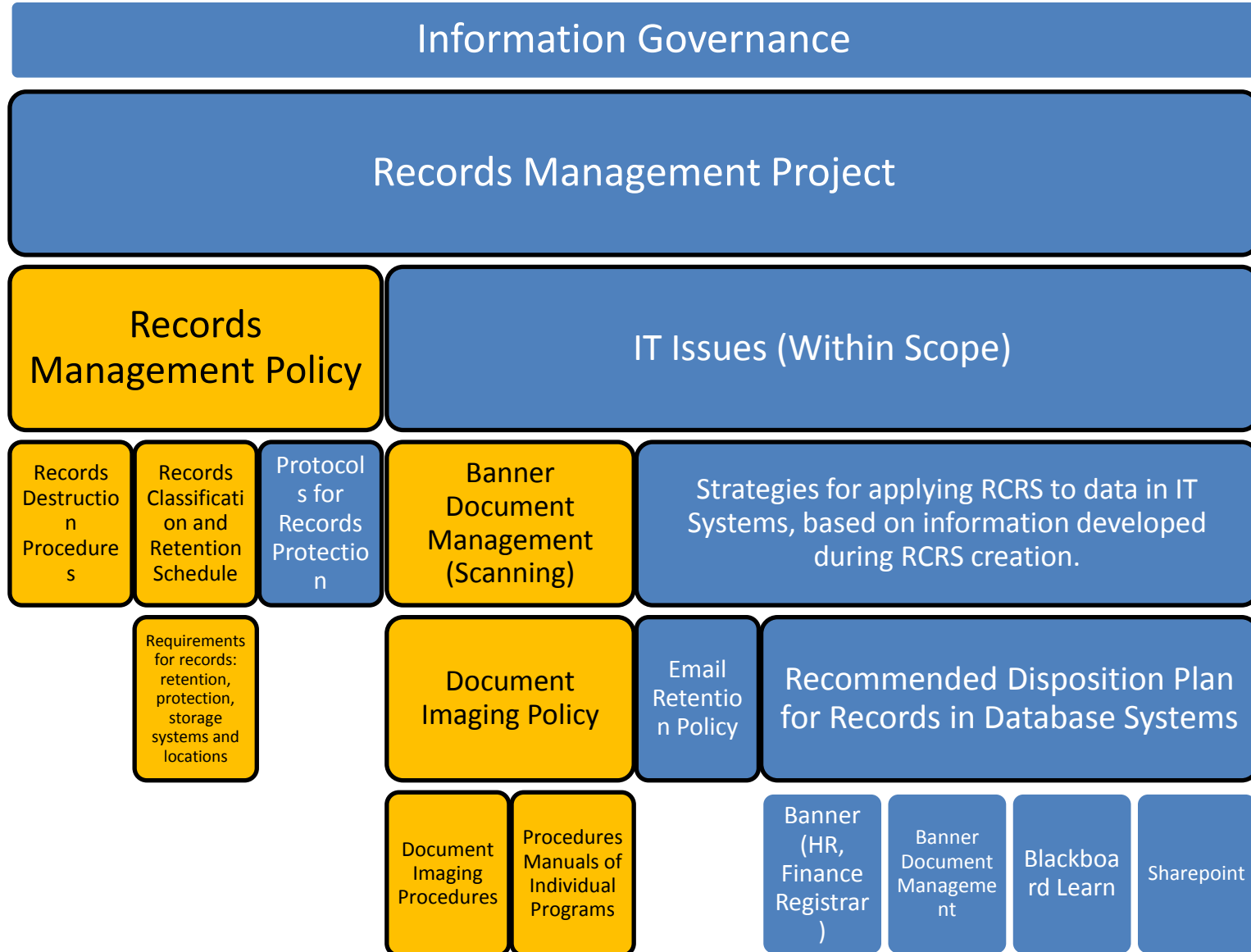
Now therefore the Board of Governors approves the Records Management Policy.



# Consultation

- Senior Leadership Team (Feb. 9)
- Committees of Academic Council
  - Research Board (March 12, April 23)
  - Graduate Studies Committee (March 24, May 26)
  - Curriculum and Program Review Committee (March 25, May 27)
- Academic Council (June 16)
- Provost's Advisory Committee on Integrated Planning (March 17)
- Policy Advisory Committee (May 22)
- Durham College (May 14)

# Where does the Policy fit?



# Records Management Policy

- Authority and Responsibility
- Research Records Exemption
- Compliance Requirements
- Approved Repositories
- Records Retention and Disposition
- Records Classification and Retention Schedule

# Records Classification and Retention Schedule (next step)

- Meet with units throughout UOIT to define:
  - Responsible Unit
  - Record Authority
  - Retention period
  - Protection and storage needs
  - Compliance requirements
- Will be used to define procedures for record keeping at UOIT.

# Motion:

Whereas UOIT is preparing a Records Management Policy (“Policy”) within the context of a Records Management Project (“Project”);

Whereas the Policy is considered a compliance policy under the Policy Framework;

Whereas due to the broad scope of the Policy and its administrative implications, the following bodies have been consulted: Research Board, Provost’s Advisory Committee on Integrated Planning, Curriculum and Program Review Committee, Graduate Studies Committee, Policy Advisory Committee;

Whereas the Curriculum and Program Review Committee, Graduate Studies Committee and Academic Council have all provided their support for approval of the Records Management Policy;

Whereas the Audit and Finance Committee has provided its support for approval of the Records Management Policy;

Now therefore the Board of Governors approves the Records Management Policy.

|                     |                                  |
|---------------------|----------------------------------|
| Item                | X.XX                             |
| Framework Category  | Legal, Compliance and Governance |
| Approving Authority | Board of Governors               |
| Policy Owner        | University Secretary             |
| Approval Date       |                                  |
| Review Date         |                                  |
| Supersedes          |                                  |

## Records Management Policy

### PURPOSE

1. The purpose of this Policy is to establish a University-wide Records Management Program to ensure that all of UOIT’s legal and operational recordkeeping obligations are identified and met. UOIT is committed to creating and managing Records consistently throughout the University, and ensuring the integrity of Records for their whole life-cycle.

### DEFINITIONS

2. For the purposes of this policy the following definitions apply:

**“Approved Repository”** means a records repository (physical filing or information system) that has been approved by the Record Authority for use in retaining and protecting University Records.

**“Disposition”** means the final retention action carried out on a Record. This may include destruction, deletion, secure destruction or deletion, or transfer for archival review or to a third party.

**“Official Copy”** means the copy of a record designated in local procedures to satisfy the University’s retention requirements where multiple copies of a Record exist.

**“Record Authority”** means the position designated in the RCRS as having authority over a particular Record Series.

**“Record”** means any Record of information however recorded, whether by electronic means, in print form, on film or otherwise.

**“Records Classification and Retention Schedule”** or **“RCRS”** means a comprehensive list of all of the types of records produced or received by the University. The RCRS groups records into Records Series and provides rules for each including a Retention Period, an appropriate level of protection, disposition method, and a citation to applicable legislation or regulations.

**“Records Hold”** means a written notice to suspend disposition for designated records. A Records Hold may be authorized by General Counsel for legal reasons or by the Record Authority for unanticipated operational or audit needs.

**“Records Series”** means a classification of Records that are related by the function and activity they support. All Records in a Records Series are subject to the same Retention Period, active and inactive storage period, disposition method and legislative and regulatory requirements.

**“Responsible Unit”** means the unit that must ensure Official Copies of the University Records of a particular Records Series are retained in an Approved Repository for the full duration of their retention period and disposed of when eligible. This may be a particular unit, or it may be the originating unit if multiple units have responsibility for records in a Records Series.

**“Retention Period”** means the length of time Records in a Records Series must be retained before Disposition.

**“Transitory Record”** means any Record other than a University Record. Transitory Records have only short term value and may include:

- a) Announcements and notices of a general nature.
- b) Drafts.
- c) Convenience copies or exact duplicates of University Records.
- d) Printouts of databases where the University Record resides in the database.

**“University Record”** means a fixed unit of information in any format that documents a transaction, decision or relationship made by the University. It has continuing value in the future to complete further work, to provide evidence, to serve as institutional memory of obligations, responsibilities, decisions and actions, or to document the unique character and history of the institution.

#### **SCOPE AND AUTHORITY**

**3.** This policy applies to Records of all formats created or received in the course of or arising from the execution of the duties of University employees, faculty, staff, volunteers and members of the Board of Governors.

**4. Research Records**

Records supporting research including administrative, financial and compliance records are University Records. Compliance Records are those required to comply with terms of Granting Agencies, legislation or regulations and/or contractual obligations. Records produced by research activities of Academic Personnel that are not required for those purposes, including Research Data (as defined in the IP Policy) and data from external sources used in research, are not considered University Records except where the University has been granted a license under the IP Policy or the research is being completed under contract to UOIT. Academic Personnel are free to retain and store Research Data subject to their individual legal and compliance obligations.

**5.** The ownership of intellectual property by academic personnel is governed by the Intellectual Property Policy.

**6.** The University Secretary and General Counsel, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

#### **POLICY**

Records are a vital asset of the University. Accurate and complete Records are critical to accountability and sound decision making. They provide evidence of the transactions, decisions and relationships of

the University. Records establish the documented history of the University, which will help define and shape the unique character and reputation of the University now and in the future.

7. Records are the property of the University, not the individual who created them. Records remain the property of the University even after termination of employment.
8. Systems for creating, tracking, protecting, organizing, retaining and disposing of Records must be developed and consistently followed to prove the reliability of Records and ensure Records are available when needed.

**9. Authority and Responsibilities**

9.1. The Office of the General Counsel and University Secretariat will:

- a) Develop and maintain University-wide policy and procedures on Records Management, including a Records Classification and Retention Schedule.
- b) Retain a permanent record of all University Record Disposition activities.
- c) Provide training to faculty and staff in their responsibilities under this Policy.
- d) Assess IT systems regarding their ability to meet the retention and protection aims of this policy and establish standards for records conversion to ensure the integrity of records.
- e) Develop procedures, guidelines and other tools to support implementation.

9.2. The Record Authority is responsible for ensuring compliance with Records Management Policy instruments and clearly delegating responsibility for Records Management in their unit. In fulfilling those responsibilities, the Record Authority has the authority to:

- a) Determine the operational value of records.
- b) Determine the Approved Repositories for records based on an evaluation of their ability to meet the retention and protection aims of this policy.
- c) Authorize the disposition of records in compliance with the RCRS.

9.3. Leadership of University departments, offices, services and faculties will:

- a) Retain records for the full duration of retention period.
- b) Develop and establish local procedures to apply records management principles to day-to-day operations, ensure there is a complete inventory of records, classified according to the RCRS and ensure that Retention Periods are tracked and University Records undergo Disposition at least once a year.
- c) Ensure that Retention Periods are tracked, and that records undergo Disposition once a year.



- d) Ensure the development of a sufficient procedures manual to support Document Imaging Programs.

9.4. The University Librarian is responsible for appraisal of the historical value of University Records to help determine the appropriate Disposition of records.

9.5. All University employees, faculty, staff, volunteers and members of the Board of Governors will:

- a) Follow University Records Management Policy and procedures including the Records Classification and Retention Schedule.
- b) Dispose of Transitory Records according to their discretion.
- c) Classify Records under their control and ensure that University Records are stored in an Approved Repository.

## 10. Compliance Requirements

10.1. The University is subject to the Freedom of Information and Protection of Privacy Act (FIPPA), as amended. FIPPA requires that the head of an institution ensure that reasonable measures are developed, documented and put into place to preserve Records in accordance with any recordkeeping or Records retention requirements in laws or regulations.

10.2. The University is subject to compliance requirements in legislation or regulations that may dictate the creation of a certain Record, duration of retention, format of Record, or the requirement that Records be held within a certain location or jurisdiction. All compliance requirements must be documented in the RCRS and fulfilled.

10.3. Records containing personal information must be protected from unauthorized access and disclosure.

10.4. All Records, including Transitory Records, in the custody or control of the University must be available for production if an access to information request is made under the Act, subject to certain exemptions or exclusions, as prescribed in the University's Access to Information and the Protection of Privacy Policy.

10.5. Contractual obligations regarding recordkeeping must be identified and fulfilled where they do not conflict with requirements in laws or regulations.

## 11. Records Retention

11.1. Records must be retained and protected for as long as they have ongoing value to the institution. The value of Records changes over time.

11.2. A Record has value when:

- a) It supports future operations.

- b) It provides evidence of the University's transactions or relationships.
- c) It may serve as evidence in a legal matter.
- d) It protects the rights of the University, employees, students or other stakeholders.
- e) It documents the history and unique character of the institution. OR
- f) The institution is obligated to create or retain the Record by law, regulation or other compliance requirements.

**12. Records Classification and Retention Schedule**

- 12.1. The University Secretariat, working in conjunction with University departments, offices, services and faculties will develop a comprehensive list of all University Records, known as a Records Classification and Retention Schedule (RCRS). The RCRS is a Procedure under the Policy Framework.
- 12.2. The value of Records over time according to the criteria in Section 11.2 will be evaluated in developing the RCRS. All University Records will be assigned to Records Series and a Retention Period will be assigned to each Record Series based on a consensus between the Record Authority and University Secretariat as to when the value of Records has declined sufficiently for disposition.
- 12.3. Transitory Records will not be included on the RCRS and may be disposed of according to individual discretion.
- 12.4. All University Records must be classified according to the RCRS. The assigned Retention Period must be tracked until the Record is eligible for disposition.
- 12.5. For each Records Series, the RCRS defines at a minimum:
  - a) The Record Authority.
  - b) A Retention Period after which disposition must be completed.
  - c) A method of disposition.
  - d) The Responsible Unit(s).
  - e) Scope notes explaining the type of Records included.
  - f) An appropriate level of protection.
  - g) Compliance requirements.
- 12.6. The RCRS will be modified to accommodate any changes to legislative requirements, operational needs, or a new function or activity that necessitates the creation of a new Records Series. The Responsible Unit should notify the University Secretariat of any such changes.

**13. Records Protection**

- 13.1. Records must be protected from risks such as flooding, fire, unauthorized access and loss. Appropriate protections will be determined by the sensitivity of the Records, the cost to reconstruct, and the risk to the University of not having a particular Record. Records must be protected whether they are in paper or electronic format.

**14. Records Disposition**

- 14.1.** Records become eligible for disposition at the end of their Retention Period. All eligible records must undergo disposition unless disposition is suspended by an authorized Records Hold. Records of disposition activities for University Records must be recorded and retained permanently.
- 14.2.** Methods of disposition must take into account the level of sensitivity of the Record Series and may include recycling, secure destruction (shredding, pulping, or incineration), transfer to University archives, or transfer of custody and control to a third party.
- 14.3.** Destruction of Transitory Records does not need to be recorded. Transitory Records containing sensitive information must be destroyed securely. Copies of University Records must be destroyed prior to the Official Copy.

**15. Records Storage**

- 15.1.** Official Copies of University Records must be stored in Approved Repositories for retention and protection purposes. Criteria to evaluate Approved Repositories will be based on Canadian and international Records Management Standards. Other copies of University Records are considered Transitory Records and may exist in email, paper, shared drives or collaboration tools.
- 15.2.** University Records must be indexed and stored to facilitate retrieval and retention. Records should be arranged to allow for disposition of a complete folder at one time, not individual documents in a folder.
- 15.3.** University Records may be retained and stored in any format as long as the content of the Record is complete and accurate and the context of the Record, including any changes in format, is tracked along with the Record. All legal, regulatory and contractual obligations regarding format must be identified and met.
- 15.4.** Long-term storage of electronic Records requires protection against modification of Records and a technology migration strategy to ensure electronic Records remain accessible until the end of their Retention Period.

**16. Records Hold**

- 16.1.** The General Counsel will issue a written Records Hold where there is actual or potential legal dispute, litigation or other legal matter, identifying Records related to the matter. Upon being notified of a Records Hold, all disposition of affected Records will be suspended immediately. The Records Hold will remain in effect until rescinded.
- 16.2.** Records identified in an access to information request or those that are involved in any legal dispute, litigation or other legal matter must not be destroyed until notified by the Office of the General Counsel that the matter is resolved.
- 16.3.** Upon receipt of a FIPPA access to information request, or when it becomes apparent that a FIPPA request is forthcoming, all disposition of potentially responsive Records is to be suspended. Disposition may resume when the FIPPA request has been resolved.

- 16.4. Records that are eligible for disposition, or nearing the end of their retention period required for unanticipated operational or audit needs may be placed on Records Hold by the Records Authority. The Retention Periods of Records Series requiring repeated Records Holds should be reviewed to ensure that they meet UOIT's operational needs.

#### **MONITORING AND REVIEW**

17. This policy will be reviewed as necessary and at least every three years. The University Secretary delegate is responsible to monitor and review this Policy.

#### **RELEVANT LEGISLATION**

18. *Freedom of Information and Protection of Privacy Act*, RSO 1990, c F.31

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

19. Records Retention and Classification Schedule (To be developed)  
Records Disposition Procedures (To be developed)  
Document Imaging Policy  
Document Imaging Guidelines (To be developed)  
UOIT Access to Information and the Protection of Privacy Policy  
Protocol for Records Protection (To be developed)



# BOARD REPORT

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Non-Public:   
 Public: X

**Action Required:**  
 Discussion   
 Decision X

**DATE:** June 25, 2015

**FROM:** Michael Newell, Chair of Governance, Nominations and Human Resources Committee (“GNHR”)

**SUBJECT:** Alignment of the Advancement Committee and the Strategy and Planning Committee

**A. Purpose**

To discuss and approve GNHR’s recommendation to integrate the Advancement and the Strategy and Planning Committees commencing in the 2015-16 year.

**B. Background/Context**

GNHR is continuously assessing governance issues including the efficient use of Member’s and management’s time and resources, effective decision-making, and engagement and interest of members. GNHR annually considers the role and work of the Board Committees. Having reviewed and considered the mandates and activities of the Advancement and Strategy and Planning Committees, and considering the increasing need for alignment between strategic planning and university advancement activities, the GNHR considered the effect of integrating these two committees.

**C. Discussion**

GNHR makes the following observations:

- There is a need to ensure close alignment between campaign and strategic planning.
- It also makes sense to bring community outreach and relationship development discussions into the strategic planning discussions.
- The duplication of discussions and efforts that are occurring in these Committees may result in Board members becoming mired in details instead of playing a more strategic oversight role.
- Merging the Committees represents an opportunity to refocus advancement discussions on strategic items, to increase the merged

committee's focus on environmental scanning and the competitive landscape and will contribute to keeping Board members engaged and using their abilities more effectively.

- Further, as Advancement Committee's campaign planning progresses, it is anticipated that the preparation and execution of the campaign strategy will be transitioned to a campaign cabinet and there will be fewer items to discuss at the Committee meetings.
- From a timing perspective, Strategy & Planning has recently overseen the completion of the CMP process, it has been agreed that the current Strategic Plan will be rolled over, and with the advent of a campaign cabinet a number of items now considered by the Advancement Committee will be turned over to the cabinet, when formed.

#### **D. Recommendations**

GNHR recommends that the Board of Governors approves the integration of the Advancement Committee and the Strategy and Planning Committee commencing in the 2015-16 year and upon such approval that it requests Management to return to the Executive Committee with a proposed set of new terms including membership/composition.



# BOARD REPORT

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Non-Public:   
 Public: X

**Action Required:**  
 Discussion   
 Decision X

**DATE:** June 25, 2015

**FROM:** Michael Newell, Chair of Governance, Nominations and Human Resources Committee (“GNHR”)

**SUBJECT:** Board Leadership, Renewal of Governors’ Terms, Committee Leadership and Assignments, and Lieutenant Governor in Council (LGIC) Appointments

**A. Purpose**

To appoint the Board Chair and Vice-Chairs, reappoint the Governors eligible for renewal, appoint Committee Chairs and members for 2015-16, and approve LGIC appointee selections.

**B. Background/Context**

*Board Leadership*

In accordance with Section 8(13) of the *UOIT 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.

*Renewals*

There are six (6) External Governors who will finish their current three-year term on August 31, 2015 and are eligible for renewal to a further three-year term:

- Don Duval
- Andrew Elrick
- Miles Goacher
- Donald Hathaway
- Jay Lefton
- Bonnie Schmidt

*Committee Leadership and Assignments*

As the Board term of the current Chair of GNHR (Michael Newell) is coming to an end on August 31, 2015, the Board must appoint a new Chair of the Committee. Further, due to a time-consuming professional project and travel demands, Bonnie Schmidt will be stepping back from a leadership role with the Board and will continue to contribute as a Board member.

There will be four (4) vacancies on the Board for which we will be recruiting over the summer. We have formed a Recruitment Committee, consisting of Karyn Brearley, Andrew Elrick, and Michael Newell, supported by management, and will interview six (6) potential candidates over the summer.

*LGIC Appointments*

Section 8(1) of the *UOIT Act* requires UOIT to have three (3) members of the Board appointed by the Lieutenant Governor in Council (LGIC). With the upcoming Board vacancies created by the departures of Michael Newell and Heather White, there will be only one (1) remaining LGIC appointee on the Board.

**C. Discussion**

*Board Leadership*

GNHR discussed the leadership of the Board of Governors for the upcoming year. After seeking interest among current Board members for the Chair and Vice-Chair positions, no one expressed a desire to be nominated for these roles. In accordance with the Policy, Glenna Raymond expressed her interest in being re-elected to the Chair position and both Adele Imrie and John McKinley expressed their willingness to be re-elected as Vice-Chairs. As no other Board members expressed interest in the roles, we treated these positions as being unopposed.

The Committee also discussed leadership succession planning. In accordance with the Policy, Adele Imrie has expressed interest in becoming the Board Chair after Glenna Raymond's term as Chair ends next year. Adele and John McKinley have agreed to work with current Board members to find replacement Chairs for



their respective Committees over the next year. The replacement Chairs will, in subsequent years, be encouraged to consider putting their names forward for one of the two Vice-Chair roles.

### *Renewals*

Each of the Board members eligible for renewal confirmed their willingness to serve an additional three (3) year term.

### *Committee Leadership and Assignments*

Karyn Brearley has expressed her willingness to step forward to become Chair of GNHR. Further, if GNHR's proposal to merge the Advancement and Strategy and Planning Committees is approved by the Board, John McKinley has expressed his interest in being the Chair of the newly merged Committee.

With the proposed Committee structure change and upcoming vacancies, GNHR recommends that the Committee memberships of GNHR, Audit and Finance, and Investment remain the same (subject to departures) until the terms of the new merged Committee are finalized and the new External Governors are appointed later this summer, at which time additions to the existing Committees and the membership of the newly merged Committee will be put forward by the Executive Committee of the Board.

### **Succession Planning:**

Pursuant to discussions about succession planning, Adele Imrie has indicated a willingness to serve in the role of Chair of the Board at the conclusion of Glenna Raymond's term. Furthermore to ensure renewal in Committee Chair roles and an increased pool from which to select future Vice Chairs and Chairs, both John McKinley and Adele Imrie have confirmed that during the year each will identify and work with a Board Member who will succeed each of them as chair of their respective committees. This transition may take place during the 2015-16 year, subject to Board approval, and in any event will be effective before the commencement of the 2016-17 Board year.

### *LGIC Appointments*

GNHR discussed the process for filling the LGIC appointee vacancies, which has traditionally been to ask renewal candidates to fill the LGIC positions, as current Board members will have a better understanding of the process involved in becoming a LGIC appointee than new members. Three of the Governors who are eligible for reappointment for a second term have expressed a willingness to be put forward as LGIC candidates. With gratitude to all who were willing, we propose to simply take the first two volunteers who are: Bonnie Schmidt and Miles Goacher.

**D. Recommendations**

GNHR recommends Board approval of the following motion:

*Upon recommendation of the Governance, Nominations and Human Resources Committee of the Board, the Board hereby:*

1. *Approves the reappointment of Glenna Raymond as Chair of the Board and Adele Imrie and John McKinley as Vice-Chairs of the Board;*
2. *Approves the renewal of the following Governors for an additional term of three (3) years ending August 31, 2018: Don Duval, Andrew Elrick, Miles Goacher, Donald Hathaway, Jay Lefton and Bonnie Schmidt;*
3. *Approves the appointment of the following Board members to the position of Chair of the specified Committee:*

|                |   |
|----------------|---|
| Karyn Brearley | Governance, Nominations & Human Resources Committee |
| Miles Goacher  | Investment Committee                                |
| Adele Imrie    | Audit & Finance Committee                           |
| John McKinley  | Advancement and Strategic Planning Committee        |

4. *Approves the proposed 2015-16 Committee Assignments, as attached; and*
5. *Approves the selection of Bonnie Schmidt and Miles Goacher to fill the two (2) vacant LGIC appointee positions.*



## **BOARD OF GOVERNORS**

### **Committee Membership 2014-15**

#### **Audit and Finance Committee<sup>1</sup>**

Adele Imrie, Chair  
Nigel Allen  
Doug Allingham  
Miles Goacher  
Tim McTiernan, President (ex-officio)  
Glenna Raymond, Board Chair (ex-officio)

#### **Governance, Nominations and Human Resources Committee<sup>2</sup>**

Karyn Brearley  
Andrew Elrick  
Jay Lefton  
Tim McTiernan, President (ex-officio)  
Glenna Raymond, Board Chair (ex-officio)

#### **Investment Committee<sup>3</sup>**

Miles Goacher, Chair  
Nigel Allen  
Adele Imrie  
John Speers  
Tim McTiernan, President (ex-officio)  
Glenna Raymond, Board Chair (ex-officio)

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<sup>1</sup> Composition: Board Chair or Vice Chair, President, Up to 7 external governors, CFO (non-voting)

<sup>2</sup> Composition: Board Chair or Board Vice Chair, President, 3 external governors, VPHR&S (non-voting).

<sup>3</sup> Composition: 1 member of A&F, 1 member of Advancement, 1 to 3 governors, VP Finance (non-voting), VP External (non-voting)



# BOARD REPORT

|                    |                                     |                         |                                     |
|--------------------|-------------------------------------|-------------------------|-------------------------------------|
| <b>Public:</b>     | <input checked="" type="checkbox"/> | <b>Action Required:</b> |                                     |
| <b>Non-Public:</b> | <input type="checkbox"/>            | <b>Discussion</b>       | <input type="checkbox"/>            |
|                    |                                     | <b>Decision</b>         | <input checked="" type="checkbox"/> |

**DATE:** June 25, 2015

**FROM:** Michael Newell, Chair of Governance, Nominations and Human Resources Committee (“GNHR”)

**SUBJECT:** Approval of Attendance Policy for Board of Governors

**A. Purpose**

To recommend the approval of the Attendance Policy for the Board of Governors.

**B. Background/Context**

Following a presentation and discussion at GNHR in April 2015 on the topic of Board engagement, a revised version of the Board Attendance Policy was drafted based on the feedback received from the Committee and presented to the Committee on May 27, 2015.

While there was recognition that Board engagement needs to remain an ongoing topic of discussion and action moving forward, there was also agreement by the Committee that expectations regarding attendance, as part of a larger discussion with Governors regarding participation, should be set out in a transparent way by updating of the Board Attendance Policy.

**C. Discussion/Options and Rationale**

The following topics were raised for discussion with GNHR and are incorporated into the revised Policy. The attached draft:

- Maintains the current thresholds for attendance and vacation as set out in the By-Laws and current Board Attendance Policy (unpublished);
- Recognizes the possibility for a leave of absence from the Board as considered in Article 4.8 of the By-Laws;

*The membership of a Governor is vacated when... (c) within any twelve month period, a member of the Board, other than an ex-officio member and a member having been granted a leave of absence by the Board, is absent for four consecutive regular meetings of the Board, or attends less than 50 percent 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.*

- Affirms that a Governor's attendance record may be used as part of the assessment commitment when selecting Committee Chairs, per the Recruitment, Appointment and Leadership Policy:

*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.*

- Places responsibility for managing attendance with the Chair of GNHR.

**D. Recommendation**

GNHR recommends the updated Board Attendance Policy for approval by the Board.

|                     |  |
|---------------------|--|
| Item                | X.XX   |
| Framework Category  | Board  |
| Approving Authority | Board of Governors                                     |
| Policy Owner        | University Secretary                                   |
| Approval Date       |  |
| Review Date         |  |
| Supersedes          | Board and Committee Attendance Policy (February, 2011) |

## ATTENDANCE POLICY

### PURPOSE

1. The purpose of this Policy is to support the effective organization and administration of meetings of the UOIT Board of Governors and its Committees by setting out the parameters and expectations for attendance at meetings.

### DEFINITIONS

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

**“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 within the University. This includes Faculty, Non-Academic Staff and Student Governors.

### SCOPE AND AUTHORITY

3. This Policy applies to all External and Elected Governors on the UOIT Board of Governors.
4. The University Secretary, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

### POLICY

The Board is committed to supporting the active and effective participation of Governors by establishing and communicating expectations for attendance at Board and Committee meetings.

5. **General**
  - 5.1. Governors will be expected to meet the requirements for attendance as specified in the UOIT By-Laws and this Policy.
  - 5.2. Attendance at Board and Committee meetings will be reviewed and overseen by the Chair of the Governance, Nomination and Human Resources Committee (GNHR).

**6. Attendance Expectations**

- 6.1. The expectation of the Board is that Governors will attend a minimum of 75% of all Board and Committee meetings within a twelve (12) month period and will not miss more than two consecutive Board or Committee Meetings.
- 6.2. The Chair of GNHR will be responsible to meet with any Governor who does not meet the stated minimum expectations and recommend a resolution to support the Governor's attendance.
  - a) A member who expects or finds an inability to fulfill the minimum attendance expectations will proactively contact the Chair of GNHR.
- 6.3. Where a Governor is unable to fulfill the minimum attendance requirements it may be recommended that he or she resign from the Board and/or Committee.
- 6.4. A Governor's attendance record will be considered in the re-appointment of External Governors and selection of Committee Chairs, in accordance with the Board of Governors Recruitment, Appointment and Leadership Policy.

**7. Leaves of Absence**

- 7.1. Governors may request a leave of absence from the Board, in accordance with the UOIT By-Laws.
- 7.2. Requests for leaves of absence from the Board will be considered on their merits.

**8. Vacancy**

- 8.1. Membership on the Board of Governors may be vacated for failure to attend sufficient meetings, as specified in the UOIT Act and By-Laws.

**MONITORING AND REVIEW**

- 9. This Policy will be reviewed as necessary and at least every three years. The Governance, Nominations and Human Resources Committee, or successor thereof, is responsible to monitor and review this Policy.

**RELEVANT LEGISLATION**

- 10. 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

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

- 11. Board of Governors Recruitment, Appointment and Leadership Policy  
Board Attendance and Leave Guidelines (to be drafted)



## BOARD REPORT

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|                    |          |                                |          |
|--------------------|----------|--------------------------------|----------|
| <b>Public:</b>     | <b>X</b> | <b><u>Action Required:</u></b> |          |
| <b>Non-Public:</b> |          | <b>Discussion</b>              |          |
|                    |          | <b>Decision</b>                | <b>X</b> |

**DATE:** June 25, 2015

**FROM:** Michael Newell, Chair, Governance, Nominations and Human Resources Committee (“GNHR”)

**SUBJECT:** Policy and Procedures for Board Meetings

**A. Purpose**

For the Board of Governors to consider approving the policy instruments.

**B. Background/Context**

The draft Policy and Procedures were developed based on the outcome of previous discussions by GNHR regarding the need to implement regular *in camera* sessions as part of Board meetings. This draft follows the presentation and discussion that took place with GNHR in September 2014 regarding the key aspects that should be incorporated into a board meeting policy addressing *in camera* sessions.

The draft Policy and Procedures as well as a presentation providing an overview are attached.

**C. Recommendations**

GNHR recommends the Policy and Procedures for approval by the Board.





|                     |                      |
|---------------------|----------------------|
| Item                | X.XX                 |
| Framework Category  | Board                |
| Approving Authority | Board of Governors   |
| Policy Owner        | University Secretary |
| Approval Date       |                      |
| Review Date         |                      |
| Supersedes          |                      |

**BOARD OF GOVERNORS MEETING POLICY**

**PURPOSE**

1. The purpose of this Policy is to promote the effective organization and administration of meetings of the University of Ontario Institute of Technology Board of Governors and its Committees.

**DEFINITIONS**

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

**“Non-Public”** means a Meeting that includes all members of the Board of Governors and those individuals invited by the Board to attend.

**“Closed”** means to move or hold a Meeting, or portion of a Meeting, to Non-Public or *In Camera*.

**“Confidential”** means information that, if broadly disseminated, would harm the organization, compromise strategic plans, disclose personal information or impact on competitive advantage.

**“In Camera”** means moving a Meeting, or portion of a Meeting, that includes only members of the Board of Governors.

**“Meeting”** means any gathering that:

- Includes the full membership, or quorum, of the Board, Executive or standing committee of the Board; and
- Is intended to discuss and/or materially advance the business or decision-making of the Board or a Committee of the Board.

**“Public”** means a Meeting open to all individuals, both internal and external to the University, in accordance with University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O.

**SCOPE AND AUTHORITY**

3. This Policy applies to all meetings of the Board of Governors and the standing Committees of the Board.
4. The University Secretary, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

**POLICY**

The Board is committed to conducting meetings in a manner that is open and transparent, while at the same time balancing its responsibility and accountability for effective deliberation and decision-making.

**5. Meetings of the Board**

- 5.1.** Meetings of the Board will be Public in accordance with the UOIT Act unless the Meeting, or a part thereof, may be Closed as specified in the UOIT Act and By-Laws.
- 5.2.** The Board will conduct three types of Meetings as part of the regular administration of the Board and its Committees:
  - Public
  - Non-Public
  - *In Camera*

**6. Closed Meetings**

There are circumstances where the Board Chair may Close a Meeting or portion thereof. In accordance with the UOIT Act and By-Law, the following topics of discussion will normally take place in a Closed Meeting:

**6.1. Personal**

- Matters pertaining to identifiable individuals or personal information that is subject to the *Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F.31 (FIPPA)*.

**6.2. Confidential**

- Litigation, potential litigation or information that is subject to legal privilege;
- Labour relations;
- Contractual matters including contracts under negotiation or which have not yet been executed;
- Matters which are deemed Confidential by the Board and/or its Executive;
- Board self-governance, evaluation and management;
- Meetings held for the purpose of education or training.

**7. Meeting Procedures**

- 7.1.** Meetings of the Board and its Committees will be held in accordance with the Board of Governors Meeting Procedures.

**MONITORING AND REVIEW**

- 8.** This Policy will be reviewed as necessary and at least every three years. The Governance, Nomination, and Human Resources Committee, or successor thereof, is responsible to monitor and review this Policy.

**RELEVANT LEGISLATION**

9. University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O  
By-Law Number 1 of the University of Ontario Institute of Technology Legislation  
Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F.31

**RELATED POLICIES, PROCEDURES & DOCUMENTS**

10. Board of Governors Meeting Procedures

## BOARD OF GOVERNORS MEETING PROCEDURES

### PURPOSE

1. The purpose of these Procedures is to ensure the consistent administration of Meetings of the Board of Governors and its Committees.

### DEFINITIONS

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

**“Non-Public”** means a Meeting that includes all members of the Board of Governors and those individuals invited by the Board to attend.

**“Closed”** means to move or hold a Meeting, or portion of a Meeting, to Non-Public or *In Camera*.

**“Confidential”** means information that, if broadly disseminated, would harm the organization, compromise strategic plans, disclose personal information or impact on competitive advantage.

**“In Camera”** means a Meeting, or portion of a Meeting, that includes only members of the Board of Governors.

**“Meeting”** means any gathering that:

- Includes the full membership, or quorum, of the Board, Executive or standing committee of the Board; and
- Is intended to discuss and/or materially advance the business or decision-making of the Board or a Committee of the Board.

**“Public”** means a Meeting open to all individuals, both internal and external to the University, in accordance with University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O.

### SCOPE AND AUTHORITY

3. These Procedures apply to all Meetings of the Board of Governors and the standing Committees of the Board.
4. The University Secretary, or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

### PROCEDURES

**5. Public Meetings**

- 5.1. A meeting will be deemed Public in accordance with the Board of Governors Meeting Policy.
- 5.2. Notice of regularly scheduled Public Meetings of the Board will be posted on the Board of Governor's website.

**6. Attending and Participating in Public Meetings**

- 6.1. Individuals who wish to attend a Public Meeting of the Board as an observer will need to give advance notice to the University Secretariat at least ~~ten (10)~~five (5) working days ahead of the Meeting to ensure adequate space and preparation.
- 6.2. Individuals requesting to address or present to a Public Meeting of the Board will need to make a request in writing to the University Secretariat at least ten (10) working days prior to the Meeting. All requests will be approved by the Chair of the Board. Requests will include:
  - Subject and purpose of the address or presentation;
  - Copies of presentation materials and/or materials to be distributed to the Board;
  - Name, address and telephone number of the spokesperson; and
  - Names of all individuals participating.
- 6.3. A hard copy of the Meeting agenda will be provided to all individuals attending Public Meetings. Supporting materials will be provided only to Board members and the Senior Leadership Team. Minutes of each Board Meeting will be posted on the Board of Governor's website following approval of the minutes by the Board

**7. Non-Public Meetings**

- 7.1. Meetings of Board Committees are Non-Public.
- 7.2. Depending on the nature of the discussion, additional participants may be invited to attend all or part of a Non-Public Meeting.
- 7.3. Meeting materials and minutes for Non-Public Meetings will be deemed Confidential and will only be distributed to members of the Board and those individuals invited to attend.

**8. In Camera Meetings**

- 8.1. *In Camera* Meetings will be scheduled as part of the regular agenda for each Board Meeting.
- 8.2. Depending on the nature of the discussion of an *in Camera* Meeting, certain individuals normally present at a Board Meeting may be excused.
- 8.3. The agenda, if any, for *in camera* Meetings will be reviewed and approved by the Board Chair ~~and President~~.

- 8.4. Minutes will not be taken for *in camera* Meetings. The actions or decisions arising from discussion in *in camera* Meetings will be brought forward and minuted in either a Non-Public or Public Meeting of the Board.

#### **MONITORING AND REVIEW**

9. These Procedures will be reviewed as necessary and at least every three years. The Governance, Nomination and Human Resources Committee, or successor thereof, is responsible to monitor and review these Procedures.

#### **RELEVANT LEGISLATION**

10. University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O  
By-Law Number 1 of the University of Ontario Institute of Technology Legislation  
Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F.31

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

11. Board of Governors Meeting Policy



**BOARD REPORT**

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|                   |          |                                |          |
|-------------------|----------|--------------------------------|----------|
| <b>Public:</b>    | <b>X</b> | <b><u>Action Required:</u></b> |          |
| <b>In-Camera:</b> |          | <b>Discussion</b>              |          |
|                   |          | <b>Decision</b>                | <b>X</b> |

**DATE:** June 25, 2015

**FROM:** Michael Newell, Chair of Governance, Nominations and Human Resources Committee

**SUBJECT:** Discussion of feedback from the Board regarding the Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Students

**A. Purpose**

To present a revision to the proposed Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Students pursuant to feedback from the Board of Governors November 2014 Public Session.

**B. Background/Context**

Procedures developed to govern the election process for the Board of Governors were recommended, by GNHR, for approval of the Board at the Public Session held on November 28, 2014.

Questions were raised by members of the Board regarding election campaigning by faculty and non-academic staff. Following discussion, there was agreement that the Procedures would be brought back to GNHR for consideration.

The concerns raised by the Board were discussed at the GNHR meeting held on April 15, 2015 and a revised version of the Procedures are being brought forward to the Board for consideration.

**C. Discussion**

The following are the key areas of concern raised at GNHR regarding the Procedures:

- The Procedures, as previously presented, suggested a requirement to campaign which may discourage potential faculty and staff candidates;

- Faculty and Non-Academic Staff currently do not campaign by practice and would not require the same Procedures as students.

It was discussed by the Committee that opportunity for all candidates to campaign, if they choose, is important in order to provide a mechanism for candidates to make their qualifications known.

Acknowledging the concerns raised by the Board about the impact to interest and engagement, the intention of the Procedures was not to mandate a requirement for campaigning, rather to regulate the practice where candidates choose to do so.

The Committee discussed how the Procedures may be revised in order to retain the opportunity for campaigning, while reflecting the original intent. Further to this discussion, Section 5.1 of the Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Students has been amended to establish that campaigning is a voluntary activity for all candidates.

#### **D. Recommendations**

GNHR recommends that the Board approve the amended Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Students.





|                     |   |
|---------------------|---|
| Item                | 3.1.X   |
| Parent Policy       | Board of Governors Recruitment, Appointment and Leadership Policy |
| Approving Authority | Board of Governors  |
| Policy Owner        | University Secretary  |
| Approval Date       | Approval Pending  |
| Review Date         |   |
| Supersedes          |   |

**BOARD OF GOVERNORS PROCEDURES FOR THE ELECTION OF FACULTY, NON-ACADEMIC STAFF AND STUDENT 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 Faculty, Non-Academic Staff and Student 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, Nomination 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 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) Providing interpretation of the election procedures.
- i) Investigating and reporting to GNHR any irregularities and infractions of campaigning or voting procedures and the recommendation of sanctions;
- j) Verifying the results of online voting and reporting election results to GNHR and the Board of Governors for confirmation.
- k) Making recommendations to GNHR on the updating and revision of 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.** Candidate eligibility is determined in accordance with the Board of Governors Recruitment, Appointment and Leadership Policy, as amended.
- 4.3.** 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.** The CEO is responsible for determining that all criteria for eligibility for both nominees and nominators has been met.
- 4.5.** 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.** 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. 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. 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 Campaigning may only occur 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;
  - 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 shall determine the successful candidate by means of conducting a coin toss in the presence of the candidates in question, under the observation of two impartial 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 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 and signed. 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;
  - 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;
  - 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.

## **12. RELEVANT LEGISLATION**

- 12.1.** [University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O](#)
- 12.2.** [By-Law Number 1 of the University of Ontario Institute of Technology](#)

**13. RELATED POLICIES, PROCEDURES & DOCUMENTS**

**13.1.** Board of Governors Recruitment, Appointment and Leadership Policy



# ADVANCEMENT OFFICE DASHBOARD

2014-2015 – FULL YEAR RESULTS

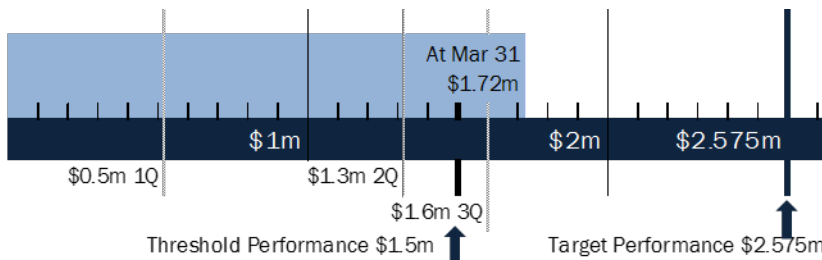
- Major Gift Program: 32 asks made totalling \$6,788,500; 13 gifts closed, two declined, 17 remain outstanding.
- Development team made 163 visits to donors and prospects.
- Three new planned gifts written.
- From April 1, 2014 to March 31, 2015, 230 donors made their first cash or pledged gift to UOIT, of which 130 contributed to third party events.
- A total of 12 donors became eligible to be added to the Donor Wall (\$10k and above).

## ACTIVITY

## RESULTS

(CUMULATIVE)

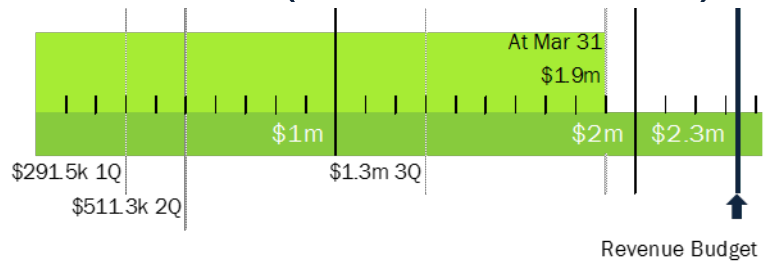
### PRODUCTIVITY (NEW GIFTS AND NEW PLEDGES):



Impact of reduced major gift resources were felt during latter part of the year - productivity results are about 50% of target.

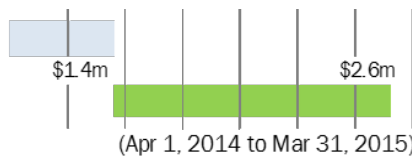
### CASH RECEIVED (CASH AND PLEDGE PAYMENTS):

Cash received approximately 78% of target.



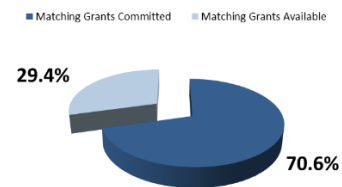
### STUDENT SUCCESS FUND (NEW GIFTS AND NEW PLEDGES):

Beginning Balance (April 1, 2014)  
In-Year New Gifts and New Pledges



Raised almost \$1.2m in year for total \$2.57m since launch.

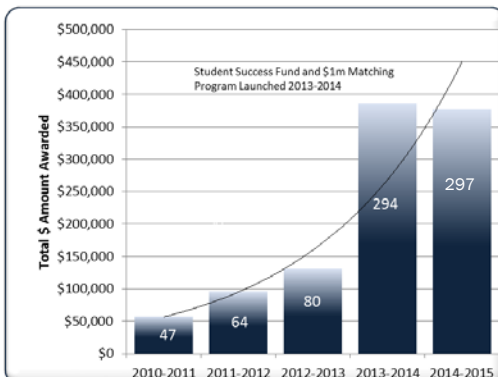
#### \$1m Matching Program



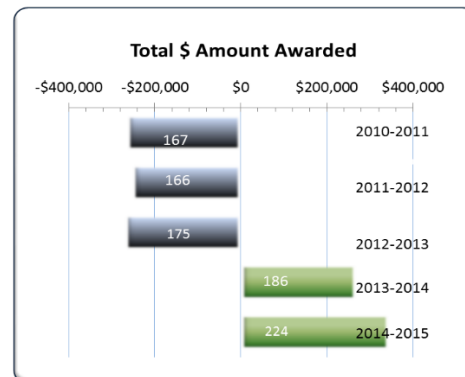
## IMPACT

### EXPENDABLE DONOR-NAMED AWARDS:

In 2014-2015, a total of \$158,000 in Student Success Fund matching grants was disbursed.



### ENDOWED DONOR NAMED AWARDS:



In 2014-2015, UOIT disbursed endowed awards at approximately 4% of endowment value.



DURHAM COLLEGE & UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

# CAMPUS MASTER PLAN



DRAFT  
April 6, 2015

# Presentation Outline

Agenda Item 13.1

- A. Process**
- B. Campus Master Plan**
- C. Land Use Protocol**
- D. Implementation**
- E. Next Steps**

# A. Process

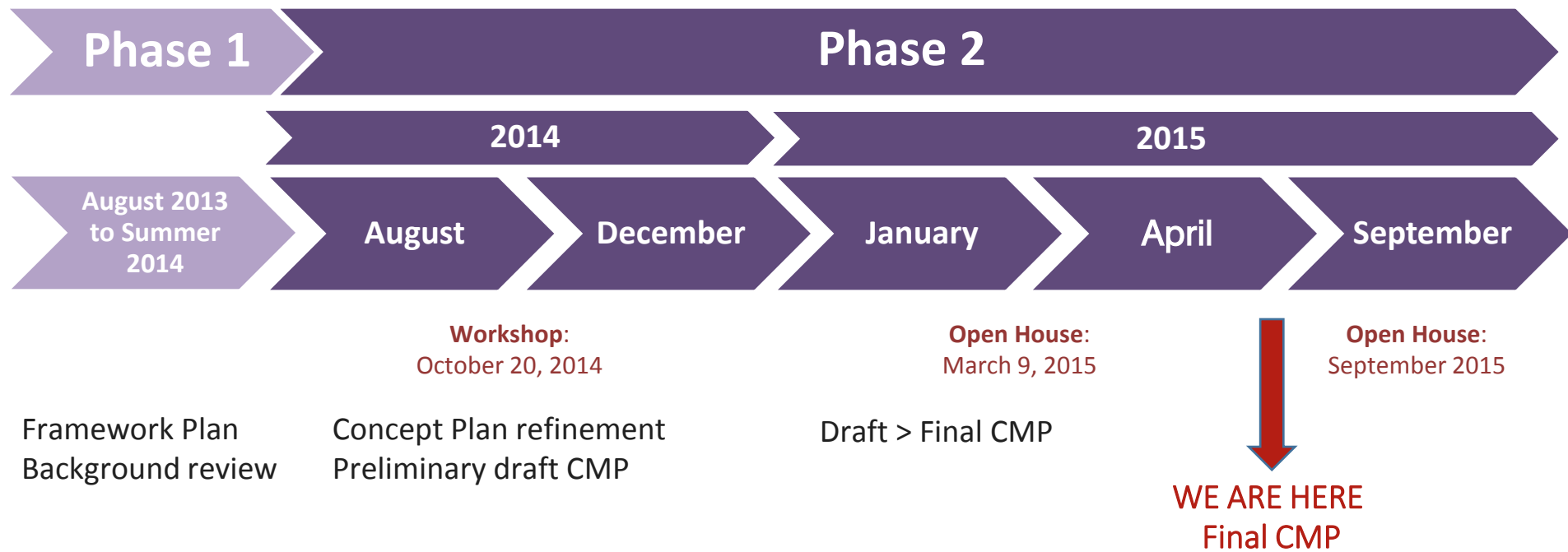
What we are seeking is approval of the Plan not approval to Build (at this time)

Welcome to ask questions however, we will try to address questions now that pertain to the approval of the plan and will 'park' other questions to be considered in future discussions and meetings such as the fall retreat

Once approved we will have;

- A plan for the shared campus that could provide in excess of the space needs for both institutions beyond the originally estimated enrolment numbers to 2030
- A framework and set of principles that can be used to guide our development particularly of the shared campus
- Sufficient 'shared' land resources to create our shared campus in a reasonably coherent, compact, walkable manner

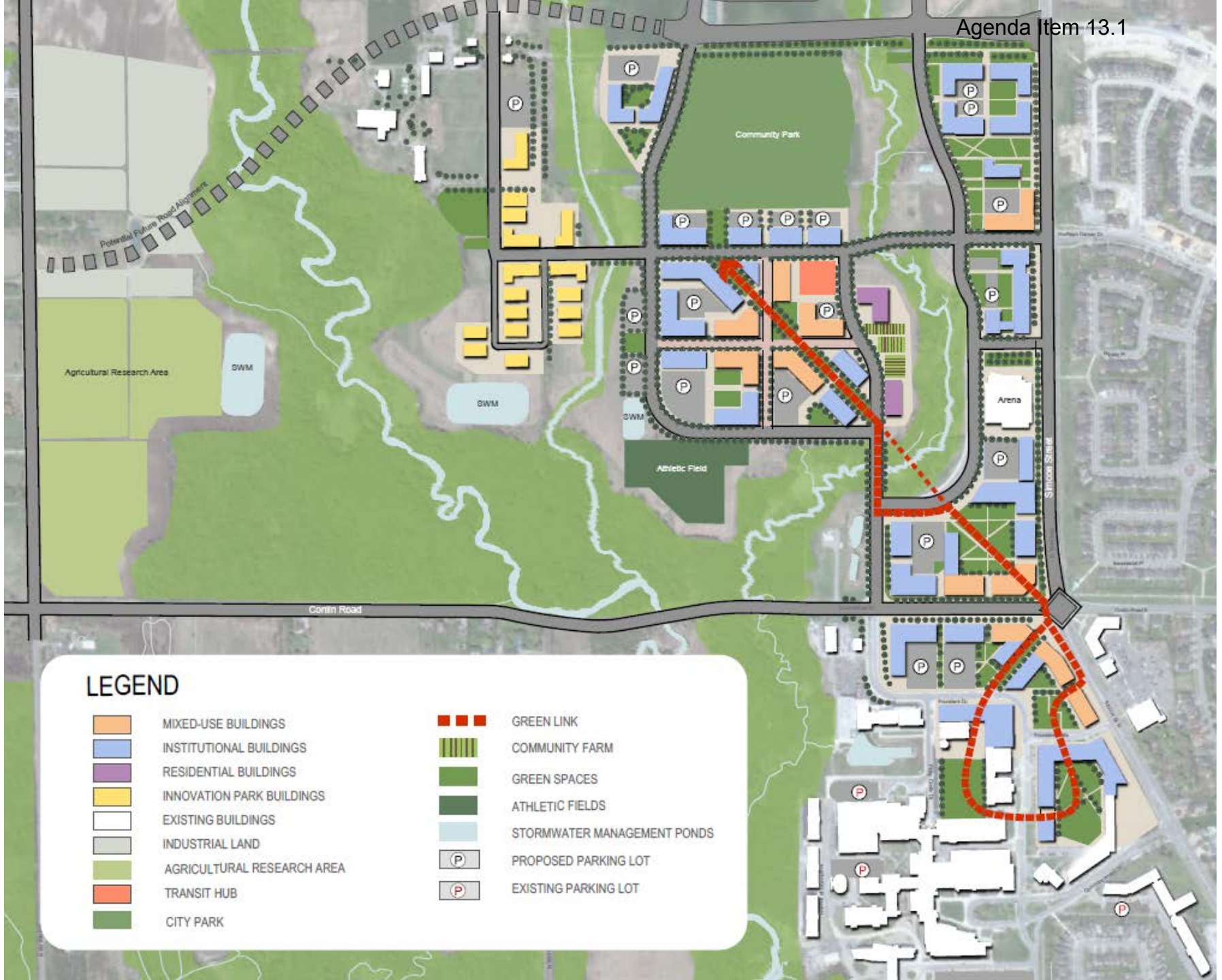
# A. Process



















# A. Process

## CONSULTATIONS: In addition to meetings with Region, City, CLOCA, Windfields, etc

|           |  |
|-----------|--|
| Oct 2013  | Advisory Meeting                           |
| Oct 2013  | Presentation to the Board                  |
| Nov 2013  | Written update to Board                    |
| Dec 2013  | Advisory Meeting                           |
| Jan 2014  | Public Open House                          |
| May 2014  | Presentation at Joint Board                |
| Sept 2014 | Presentation to Strategy and Planning      |
| Oct 2014  | Public Workshop                            |
| Nov 2014  | Presentation to Board                      |
| Mar 2015  | Public Workshop                            |
| Mar 2015  | Presentation to Joint Board                |
| May 2015  | Presentation to and approval from DC Board |
| May 2015  | Presentation to Strategy and Planning      |



### LEGEND

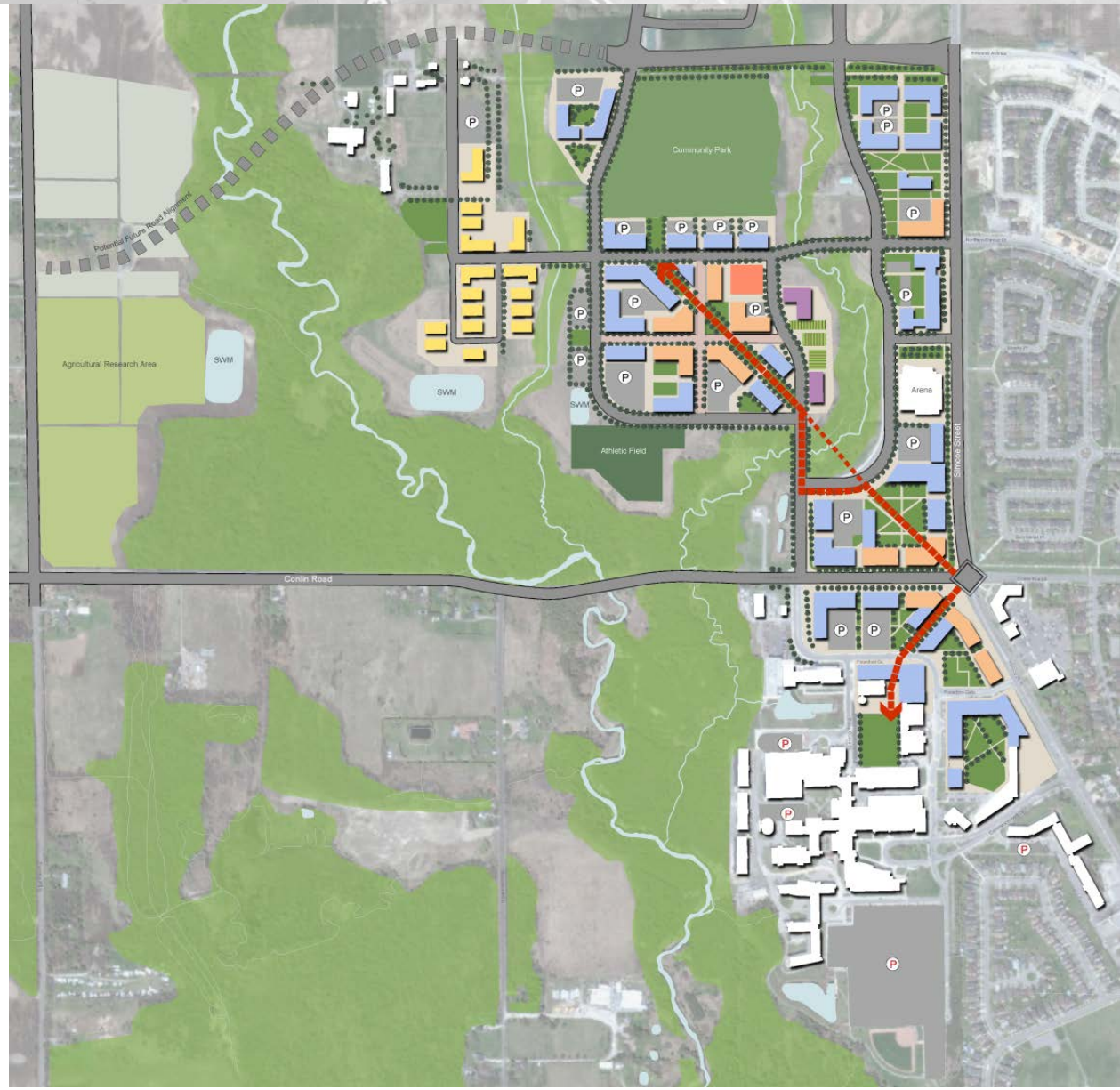
- |   |                            |   |                             |
|---|----------------------------|---|-----------------------------|
|  | MIXED-USE BUILDINGS        |  | GREEN LINK                  |
|  | INSTITUTIONAL BUILDINGS    |  | COMMUNITY FARM              |
|  | RESIDENTIAL BUILDINGS      |  | GREEN SPACES                |
|  | INNOVATION PARK BUILDINGS  |  | ATHLETIC FIELDS             |
|  | EXISTING BUILDINGS         |  | STORMWATER MANAGEMENT PONDS |
|  | INDUSTRIAL LAND            |  | PROPOSED PARKING LOT        |
|  | AGRICULTURAL RESEARCH AREA |  | EXISTING PARKING LOT        |
|  | TRANSIT HUB                |   |                             |
|  | CITY PARK                  |   |                             |

# B. Campus Master Plan

## CAMPUS CHARACTER

Overarching guidelines with respect to:

- Land use and building siting
- Building height and massing
- Achieving high quality pedestrian-oriented design

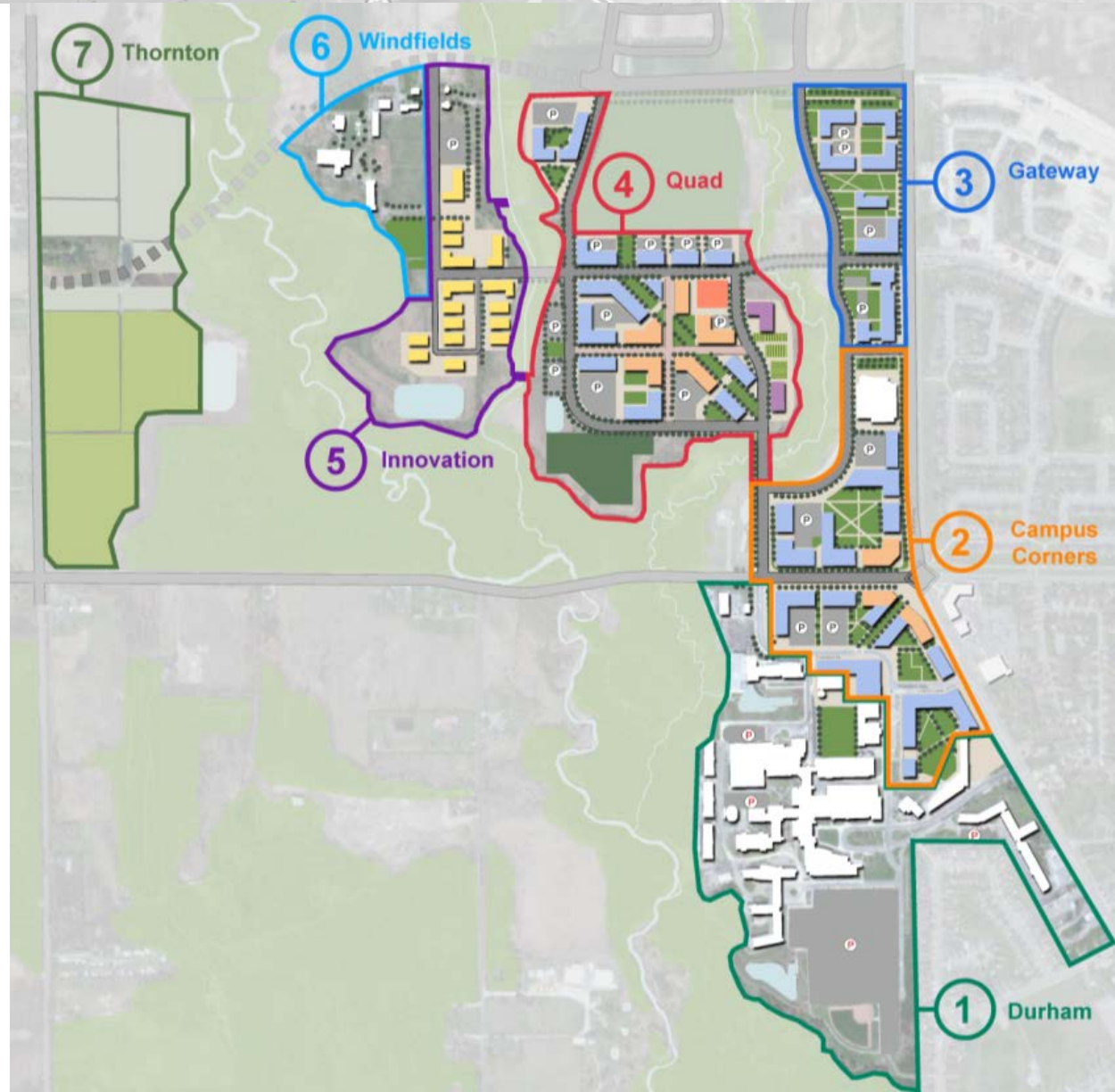




# B. Campus Master Plan

## Seven Character Areas:

1. Durham
2. Campus Corners
3. Gateway
4. Quad
5. Innovation
6. Windfields
7. Thornton



# B. Campus Master Plan

## CAMPUS CHARACTER

Guidelines with respect to:

- Landmark buildings:
  - frame views
  - mark entries and gateways to the campus
- Primary gateway  
(Simcoe/Conlin intersection)
- Secondary gateway
- Entry signage



### LEGEND

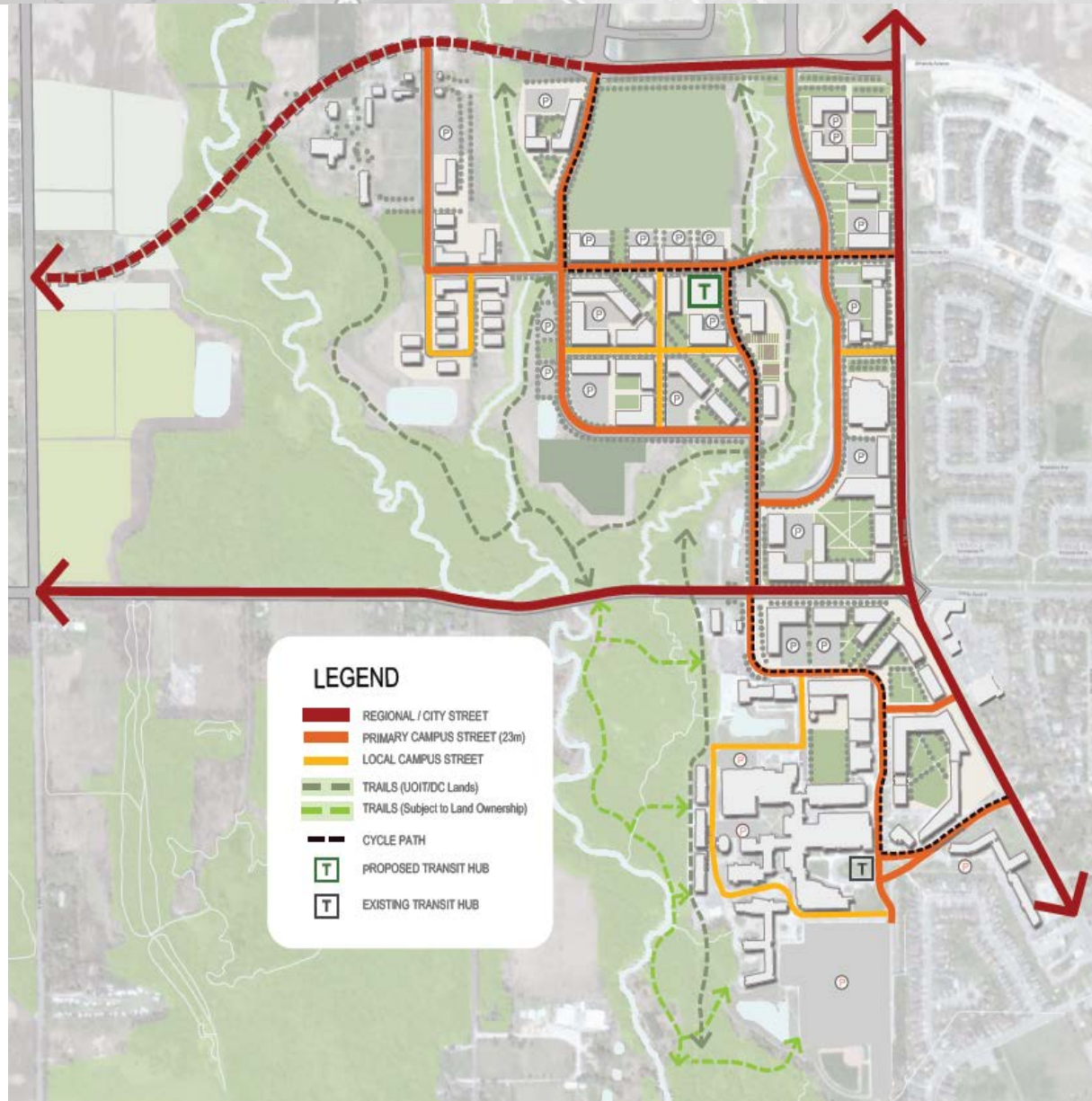
- VIEW TERMINI & LANDMARKS
- VIEWS
- ENTRY SIGNAGE
- SECONDARY GATEWAY
- PRIMARY GATEWAY

# B. Campus Master Plan

## MOVEMENT & CIRCULATION

Guidelines with respect to:

- Street network and hierarchy
- Parking, including phased approach to surface and structured lots
- Transit
- Active transportation

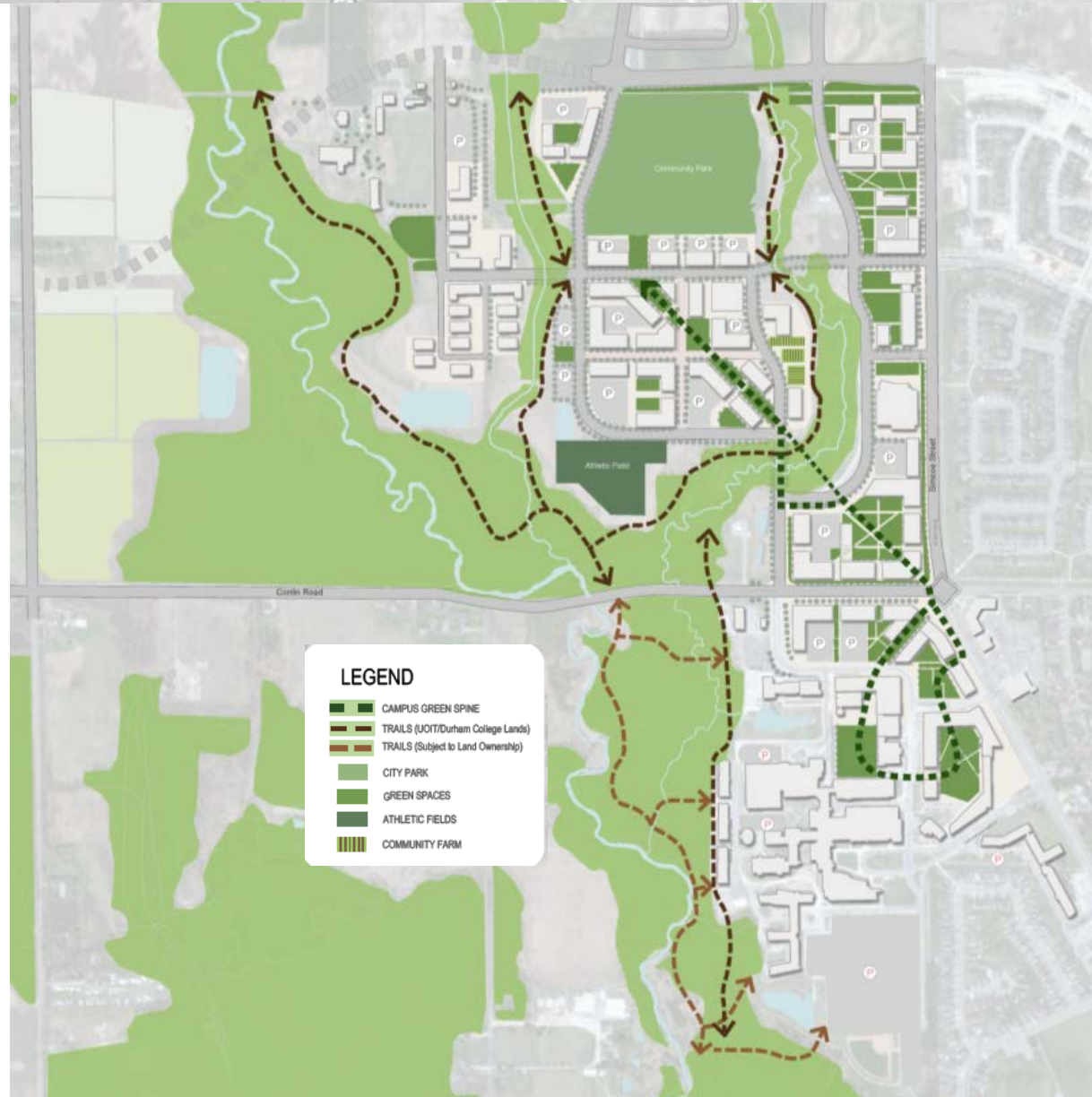


# B. Campus Master Plan

## PUBLIC REALM AND OPEN SPACE

Guidelines with respect to:

- Streetscaping
- Open space character
- Public art



# B. Campus Master Plan

## Implementation:

### Phase 1:

- Priority Buildings:
  - SILC
  - Simcoe
  - CARIE
  - Joint Health Sciences
- Move athletic fields
- Surface parking
- Windfields (existing)
- Innovation Area may be developed during any phase, if the opportunity arises.



# B. Campus Master Plan

## Implementation:

### Phase 2

- Building at Britannia Avenue/Simcoe Street
- Surface parking



# B. Campus Master Plan

## Implementation:

### Phase 3

- Buildings on south-west corner of Simcoe /Conlin intersection
- Building north of Northern Dancer Drive
- Building south of Ice Centre
- Structured parking in Quad
- Temporary surface parking in Quad



# B. Campus Master Plan

## Implementation:

### Phase 4

- Quad area
- Temporary parking replaced with building and diagonal open space





# B. Campus Master Plan

## Implementation:

Ultimate Build-Out





Future  
Athletic Fields

CRWC

Campus  
Library

Campus  
Ice Centre

Simcoe Street North

Conlin Road



Campus Library

Future Athletic Fields

Conlin Road

Simcoe Street North

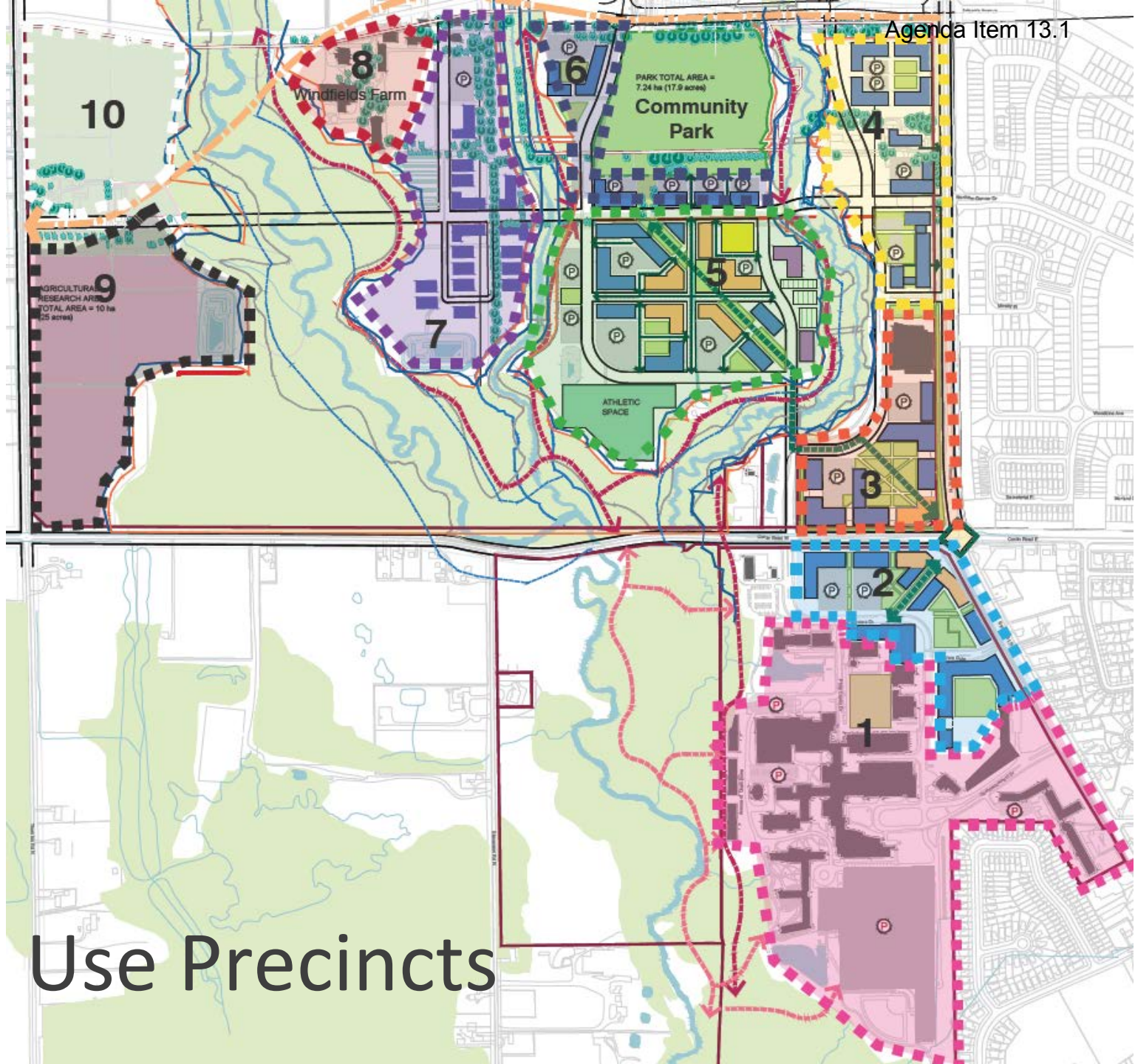
Campus Ice Centre

# C. Land Use Protocol

1. Background
2. Land Use Precincts
3. Draft Land Use Protocol Agreement
4. Gross Floor Area (GFA) Calculations and Institution Allocations

# C. Land Use Protocol Background

- The protocol concept was initiated at the end of phase 1 of the CMP and was developed in parallel but separately from the CMP
- The principle behind the CMP is that all land on the shared Oshawa Campus is included in development without direct consideration of ownership allowing each institution to expand independently and develop a compact, walkable, mixed-use and green campus that meets the needs of both institutions
- The protocol sets parameters for usage and development of the shared campus and will be used by the CMP Advisory Committee to guide development
- End result is that UOIT (and DC) have a plan that can provide the space requirements of each institution beyond the 2030 projected enrolment targets



# Land Use Precincts

April 2015

# C. Land Use Protocol Agreement

- No changes to ownership / the information relates to usage
- Each institution to be fully responsible for their portion of development allotted within each Precinct
- Servicing and infrastructure requirements have been considered
- Third party agencies are feasible
  - academic initiatives are to be discussed and planned not to interfere with the academic autonomy, academic mission or reputation of the other
  - revenue generating activities are to be developed through mutual consent
- Changes to the protocol and principles can be made with mutual consent
- If required conflict resolution procedures include assistance of a mediator

# C. Land Use Protocol GFA

The gross floor area (GFA) calculations and institution allocations are intended to:

- Use the buildings depicted in the Concept Plan to calculate usable GFA which is used to establish the institutions and shared development distribution for the shared campus
- Looked at the usable land for each institution within all the Precincts to determine overall allocation objective
- Overall objective of allocations north of Conlin was to obtain a 50/50 split of development resulting in a 40% allocation for each institution and a 20% allocation to shared space



# BUILDING GFA CALCULATIONS BY PRECINCT

| Precincts                       |   |                         | Percentage of TBD by Institution |                              | Breakdown of GFA by Institution with TBD shared as indicated |                        |                          |                         | Percentage Breakdown of GFA by Institution |        |      |     |
|---------------------------------|---|-------------------------|----------------------------------|------------------------------|--|------------------------|--------------------------|-------------------------|--|--------|------|-----|
| Precincts                       | Approximate Area (ha)                         | Total Proposed GFA (m2) | Percentage of TBD GFA for UOIT   | Percentage of TBD GFA for DC | DC Building GFA (m2)   | UOIT Building GFA (m2) | Shared Building GFA (m2) | Total Building GFA (m2) | DC   | Shared | UOIT |     |
| EXISTING                        | Existing 1 + 2                                | 36.2                    |                                  |                              | 95,077   | 50,648                 | 31,483                   | 177,208                 | 54%  | 18%    | 29%  |     |
|                                 | Existing 3                                    | 6.2                     |                                  |                              | -  | -                      | 7,830                    | 7,830                   | 0%   | 100%   | 0%   |     |
| FUTURE                          | Precinct 2                                    | 8.2                     | 115,399                          | 35.0%                        | 65.0%  | 57,767                 | 41,991                   | 15,641                  | 115,399                                    | 50%    | 14%  | 36% |
|                                 | Precinct 3                                    | 6.2                     | 68,098                           | 0.0%                         | 0.0%   | 29,228                 | 25,238                   | 13,632                  | 68,098                                     | 43%    | 20%  | 37% |
|                                 | Precinct 4                                    | 8.4                     | 78,050                           | 60.0%                        | 40.0%  | 18,614                 | 50,311                   | 9,125                   | 78,050                                     | 24%    | 12%  | 64% |
|                                 | Precinct 5                                    | 16.9                    | 132,008                          | 40.0%                        | 60.0%  | 56,021                 | 37,347                   | 38,640                  | 132,008                                    | 42%    | 29%  | 28% |
|                                 | Precinct 6                                    | 4.7                     | 40,985                           | 40.0%                        | 60.0%  | 23,073                 | 15,382                   | 2,530                   | 40,985                                     | 56%    | 6%   | 38% |
|                                 | Precinct 7                                    | 12.3                    | 0                                | 50.0%                        | 50.0%  | -                      | -                        | -                       | -  |        |      |     |
|                                 | Precinct 8                                    | 3.7                     | 0                                | 50.0%                        | 50.0%  | -                      | -                        | -                       | -  |        |      |     |
|                                 | Precinct 9                                    | 12.7                    | 0                                | 50.0%                        | 50.0%  | -                      | -                        | -                       | -  |        |      |     |
|                                 | Precinct 10                                   | 8.3                     | 0                                | 50.0%                        | 50.0%  | -                      | -                        | -                       | -  |        |      |     |
|                                 | TOTALS for future development north of Conlin |                         |                                  |                              |  | 126,936                | 128,278                  | 63,927                  | 319,141                                    | 40%    | 20%  | 40% |
| TOTALS for shared Oshawa campus |   |                         |                                  |                              | 279,780  | 220,918                | 118,881                  | 619,578                 | 45%  | 19%    | 36%  |     |

# D. CMP Implementation

## Implementation:

- All development will be reviewed and approved within the context of the CMP objectives and guidelines
- Joint Design Advisory Panel should guide the monitoring, reporting and process
- Joint Design Advisory Panel comprised of DC, UOIT, Campus Planner, a registered professional planner and others consultants as required
- Campus Planner position should be established to facilitate the activities required
- Design and development review framework has been recommended

# D. CMP Implementation

## **Work of the Joint Design Advisory Panel should include:**

- Any new projects will be reviewed as they progress
- Semi-annual reports will be provided to DC and UOIT Presidents
- Regular reports to the Boards will be provided
- Review of the CMP as strategic plans are updated, and/or every 5 to 10 years
- Any amendment that is outside the established principles or considered a major change to the CMP would come to the Board – i.e., Park Land

# E. CMP Next Steps

To move forward we need to;

- Establish the Joint Design Advisory Panel
- Hire a Campus Master Planner
- Continually explore and develop funding possibilities including any P3 possibilities
- Initiate the work required for regulatory approvals
- Continue discussions with various agencies including:
  - Region of Durham and City of Oshawa
  - Durham Region Transit and Metrolinx
  - Other agencies such as CLOCA, Oshawa Power and Utilities, etc

**BOARD OF GOVERNORS  
MEETING SCHEDULE 2015 - 2016**

| <b>COMMITTEE</b>                                    | <b>DATE</b>          | <b>TIME</b>         | <b>ROOM</b>           |
|---|----------------------|---------------------|-----------------------|
| Advancement Committee                               | September 9, 2015    | 10:00 am - 12:00 pm | DTA 303               |
| Advancement Committee                               | November 4, 2015     | 10:00 am - 12:00 pm | DTA 303               |
| Advancement Committee                               | February 10, 2016    | 10:00 am - 12:00 pm | DTA 303               |
| Advancement Committee                               | May 4, 2016          | 10:00 am - 12:00 pm | DTA 303               |
|   |                      |                     |                       |
| Audit & Finance Committee                           | September 16, 2015   | 12:30 pm - 2:30 pm  | DTA 303               |
| Audit & Finance Committee                           | November 16, 2015    | 12:30 pm - 2:30 pm  | DTA 303               |
| Audit & Finance Committee                           | February 17, 2016    | 12:30 pm - 2:30 pm  | DTA 303               |
| Audit & Finance Committee                           | April 13, 2016       | 12:30 pm - 2:30 pm  | DTA 303               |
| Audit & Finance Committee                           | June 22, 2016        | 10:00 am - 2:00 pm  | DTA 303               |
|   |                      |                     |                       |
| Board of Governors Retreat                          | October 22, 2015     | TBA                 | TBA                   |
| Board of Governors Retreat                          | April 21, 2016       | TBA                 | TBA                   |
|   |                      |                     |                       |
| Board of Governors                                  | October 21, 2015     | 12:00 pm - 5:30 pm  | DTB 524               |
| Board of Governors                                  | November 26, 2015    | 12:00 pm - 5:30 pm  | DTB 524               |
| Board of Governors                                  | March 9, 2016        | 12:00 pm - 5:30 pm  | DTB 524               |
| Board of Governors                                  | April 20, 2016       | 12:00 pm - 5:30 pm  | DTB 524               |
| Board of Governors - AGM                            | June 30, 2016        | 9:00 am - 5:30 pm   | DTB 524               |
|   |                      |                     |                       |
| Executive Committee                                 | September 16, 2015   | 10:00 am - 12:00 pm | DTA 303               |
| Executive Committee                                 | November 11, 2015    | 10:00 am - 12:00 pm | DTA 303               |
| Executive Committee                                 | February 24, 2016    | 10:00 am - 12:00 pm | DTA 303               |
| Executive Committee                                 | June 1, 2016         | 10:00 am - 12:00 pm | DTA 303               |
| Executive Committee                                 | August 10, 2016      | 10:00 am - 12:00 pm | DTA 303               |
|   |                      |                     |                       |
| Governance, Nominations & Human Resources Committee | September 23, 2015   | 12:30 pm - 2:30 pm  | DTA 303               |
| Governance, Nominations & Human Resources Committee | November 11, 2015    | 12:30 pm - 2:30 pm  | DTA 303               |
| Governance, Nominations & Human Resources Committee | February 24, 2016    | 12:30 pm - 2:30 pm  | DTA 303               |
| Governance, Nominations & Human Resources Committee | May 11, 2016         | 12:30 pm - 2:30 pm  | DTA 303               |
| Governance, Nominations & Human Resources Committee | June 1, 2016         | 12:30 pm - 2:30 pm  | DTA 303               |
|   |                      |                     |                       |
| Investment Committee                                | November 16, 2015    | 10:00 am - 12:00 pm | DTA 303               |
| Investment Committee                                | February 17, 2016    | 10:00 am - 12:00 pm | DTA 303               |
| Investment Committee                                | May 11, 2016         | 10:00 am - 12:00 pm | DTA 303               |
| Investment Committee                                | August 10, 2016      | 12:30 pm - 2:30 pm  | DTA 303               |
|   |                      |                     |                       |
| Strategy & Planning Committee                       | September 9, 2015    | 12:30 pm - 2:30 pm  | DTA 303               |
| Strategy & Planning Committee                       | November 4, 2015     | 12:30 pm - 2:30 pm  | DTA 303               |
| Strategy & Planning Committee                       | February 10, 2016    | 12:30 pm - 2:30 pm  | DTA 303               |
| Strategy & Planning Committee                       | May 4, 2016          | 12:30 pm - 2:30 pm  | DTA 303               |
| Strategy & Planning Committee                       | June 8, 2016         | 12:30 pm - 2:30 pm  | DTA 303               |
|   |                      |                     |                       |
| <b>OTHER MEETING DATES</b>                          |                      |                     |                       |
| Academic Council Orientation                        | September 15, 2016   | 6:00 - 7:00 pm      | TBD                   |
| AGB Conference                                      | April 15 - 17, 2016  |                     | Washington DC         |
| CCOU Conference                                     | November 6 - 7, 2015 |                     | Toronto               |
| Convocation   | June 9 & 10, 2016    |                     | General Motors Centre |



## BOARD REPORT

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**Meeting Type:**

**Board of Governors: Annual General Meeting**

**Public:**

**In-Camera:**

**Action Required:**

**Discussion**

**Decision**

**DATE:** June 25, 2015

**FROM:** Glenna Raymond, Board Chair

**SUBJECT: Appointment of Board Officer for 2015-16**

**A. Purpose**

To ensure the annual appointment of the Board Secretary consistent with the UOIT By-laws.

**B. Background**

In accordance with Article 5.6 of By-law Number 1 of UOIT, “The Board shall appoint a Secretary and such other officers of the Board as the Board may determine from time to time by resolution.”

**C. Discussion/Options**

It is a best practice to annually confirm the appointment of the Secretary of the Board.

**D. Recommendation**

That the UOIT Board of Governors appoint Becky Dinwoodie as Board Secretary for the UOIT Board of Governors from July 1, 2015 until June 30, 2016.



## BOARD REPORT

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|                    |          |                         |          |
|--------------------|----------|-------------------------|----------|
| <b>Public:</b>     | <b>X</b> | <b>Action Required:</b> |          |
| <b>Non-Public:</b> |          | <b>Information:</b>     | <b>X</b> |
| <b>In-Camera:</b>  |          | <b>Decision:</b>        |          |

**DATE:** Board of Governors AGM June 25, 2015

**FROM:** Glenna Raymond, Chair, UOIT Board of Governors

**SUBJECT:** Report of the Board Chair – Summary of Activities

**A. Purpose**

To report on Board activities in 2014-15.

**B. Background/Context**

Membership on the UOIT Board of Governors in 2014-15 was as follows:

Perrin Beatty, Chancellor  
Tim McTiernan, President and Vice-Chancellor

Glenna Raymond, Chair  
Adele Imrie, Vice-Chair (LGIC)  
John McKinley, Vice-Chair  
Nigel Allen  
Doug Allingham (Co-Populous)  
Rupinder Brar (Elected Teaching Representative)  
Karyn Brearley  
Garry Cubitt (Co-Populous)  
Donald Duval  
Andrew Elrick  
Amirmohammad Ghandehariun (Graduate Student Representative)  
Miles Goacher  
Donald Hathaway  
Theeben Jegatheesan (Elected Non-Teaching Staff Representative)  
Jay Lefton  
Robert Marshall  
Michael Newell (Co-Populous & LGIC)  
Bonnie Schmidt  
Andrea Slane (Elected Teaching Representative)  
John Speers

Pierre Tremblay (Co-Populous)  
 Tyler Turecki (Undergraduate Student Representative)  
 Valarie Wafer  
 Heather White (LGIC)

**Committee Membership for 2014-15 was as follows:**

|  |   |
|--|---|
| <p><b>Executive Committee</b><br/>         Glenna Raymond, Board Chair<br/>         Adele Imrie, Vice-Chair, Chair Audit &amp; Finance<br/>         John McKinley, Vice-Chair, Chair Advancement<br/>         Miles Goacher, Chair Investment<br/>         Michael Newell, Chair Governance, Nominations &amp; Human Resources<br/>         Bonnie Schmidt, Chair Strategy and Planning<br/>         Tim McTiernan, President (ex-officio)</p> | <p><b>Audit and Finance Committee</b><br/>         Adele Imrie, Chair<br/>         Nigel Allen<br/>         Doug Allingham<br/>         Garry Cubitt<br/>         Miles Goacher<br/>         Robert Marshall<br/>         Tim McTiernan, President (ex-officio)<br/>         Glenna Raymond, Board Chair (ex-officio)</p>   |
| <p><b>Advancement Committee</b><br/>         John McKinley, Chair<br/>         Donald Hathaway<br/>         Adele Imrie<br/>         Andrea Slane<br/>         John Speers<br/>         Pierre Tremblay<br/>         Valarie Wafer<br/>         Heather White<br/>         Tim McTiernan, President (ex-officio)<br/>         Glenna Raymond, Board Chair (ex-officio)</p> <p><i>Bob Strickert, External Community Member (non-voting)</i></p> | <p><b>Strategy &amp; Planning Committee</b><br/>         Bonnie Schmidt, Chair<br/>         Rupinder Brar<br/>         Donald Duval<br/>         Amirmohammad Ghandehariun<br/>         Donald Hathaway<br/>         Theeben Jegatheesan<br/>         Jay Lefton<br/>         Robert Marshall<br/>         John McKinley<br/>         Michael Newell<br/>         Tyler Turecki<br/>         Valarie Wafer<br/>         Tim McTiernan, President (ex-officio)<br/>         Glenna Raymond, Board Chair (ex-officio)</p> |
| <p><b>Investment Committee (Sub-committee of Audit and Finance Committee)</b><br/>         Miles Goacher, Chair<br/>         Nigel Allen<br/>         Adele Imrie<br/>         John Speers<br/>         Tim McTiernan, President (ex-officio)<br/>         Glenna Raymond, Board Chair (ex-officio)</p>  | <p><b>Governance, Nominations &amp; Human Resources Committee</b><br/>         Michael Newell, Chair<br/>         Karen Brearley<br/>         Andrew Elrick<br/>         Jay Lefton<br/>         Pierre Tremblay<br/>         Tim McTiernan, President (ex-officio)<br/>         Glenna Raymond, Board Chair (ex-officio)</p>   |



In total, the UOIT Board and its various standing and ad hoc committees met 34 times in 2014-15.

There were 6 Board meetings comprised of: 5 regularly scheduled meetings of the Board of Governors including the Annual General Meeting and 1 joint UOIT/DC meeting.

The 6 Board of Governor meetings were held on:

- October 1, 2014
- November 28, 2014
- March 11, 2015
- March 11, 2015 (joint UOIT/DC meeting)
- April 29, 2015
- June 25, 2015 AGM

Additionally, there was 1 Board of Governors Retreat on the weekend of November 28-29 and 1 Orientation Session, which took place on October 1.

The 6 standing committees had a total of 28 meetings which were held as follows:

| <b>Committee</b>                          | <b>Number of Meetings</b> | <b>Meeting Dates</b>                               |
|---|---------------------------|--|
| Advancement                               | 4                         | Sep 10, Nov 13, Apr 2 and May 27                   |
| Audit & Finance                           | 5                         | Sep 17, Nov 19, Feb 25, Apr 15 and Jun 12          |
| Executive                                 | 6                         | Sept 29, Nov 19, Jan 14, Apr 24, May 19 and Jun 17 |
| Governance, Nominations & Human Resources | 5                         | Sept 29, Nov 5, Feb 19, Apr 15 and May 27          |
| Investment                                | 4                         | Nov 19, Feb 25, May 13 and Jul 28 (tentative)      |
| Strategy & Planning                       | 4                         | Sept 10, Nov 5, Mar 18 and May 13                  |
| <b>Total:</b>                             | <b>28</b>                 |  |



**THE UOIT DEFINED CONTRIBUTION PENSION PLAN (UOIT DCP)  
GOVERNANCE COMPLIANCE CERTIFICATE**

The University of Ontario Institute of Technology ("UOIT") sponsors the University Of Ontario Institute Of Technology Pension Plan, Registration No. 1087808 (the "Plan"). The Plan is a member-investment directed defined contribution pension plan registered with the Financial Services Commission of Ontario and the Canada Revenue Agency governed by the Pension Benefits Act (Ontario) (the "PBA") and the Income Tax Act ("ITA"), Canada, respectively.

The Senior Administration (Pension & Benefits) Sub-Committee (SASC) exercises overall responsibility for the proper administration of the Plan and administration and investment of the Fund.

The SASC's responsibilities are carried out by three members of senior management, the Vice President, Human Resources & Services (VP, HR & Services), the Chief Financial Officer (CFO) and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the VP, HR & Services and the Pension & Benefits Staff which report to him/her.

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

With respect to the Year January 1, 2014 to December 31, 2014 the SASC hereby certifies that the responsibilities and processes listed in the accompanying ten (10) Pension Governance Checklists have been fulfilled and completed.

A handwritten signature in black ink, appearing to read 'Murray C. Lapp'.

Murray Lapp,  
Vice-President Human Resources and Services

DATED the 23<sup>rd</sup> day of January, 2015.

A handwritten signature in black ink, appearing to read 'Craig Elliott'.

Craig Elliott,  
Chief Financial Officer

DATED the 27<sup>th</sup> day of January, 2015.

A handwritten signature in black ink, appearing to read 'Cheryl Foy'.

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

DATED the 29 day of January, 2015.

## BOARD OF GOVERNORS

As the guiding mind of UOIT, the Board is the legal plan administrator and, as such, has general oversight responsibility for the administration of the Plan and the administration and investment of the Fund. The Board has established a governance system for the Plan and Fund, which delegates most of the functions relating to the Plan to the SLT. The Board plays an oversight role vis-à-vis the Plan, with its main responsibilities being to receive and consider reports from the Governance, Nominations & Human Resources Committee and the Audit Committee (to which the SLT reports) and to approve Plan design changes recommended by the Governance, Nominations & Human Resources Committee. The Board also appoints the auditor for the Plan and receives reports on risk management issues from the Audit Committee. The Board may also receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the Board’s attention.

### Board of Governors Checklist

**January 1, 2014 to December 31, 2014**

| No. | Item  | Completion Date <sup>1</sup> | Action Required/<br>Taken/Comments |
|-----|---|------------------------------|------------------------------------|
| 1.  | Establishes and updates the governance system for the Plan on the recommendation of the Governance, Nominations & Human Resources Committee | November 2013                | As required                        |
| 2.  | Approves design changes to the Plan <sup>2</sup> on the recommendation of the Governance, Nominations & Human Resources                     | 2014 N/A                     | None                               |
| 3.  | Appoints the Plan auditor   | 2014 N/A                     | None                               |
| 4.  | Receives annual report from the Governance, Nominations & Human Resources Committee   | June 2014                    | At least annually                  |
| 5.  | Receives and considers reports from the Audit Committee   | June 2014                    |                                    |
| 6.  | May receive submissions directly from the Pension & Benefits Committee  | 2014                         | None                               |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

<sup>1</sup> If a matter is not required to be addressed in a given year, “N/A – 20—“ is indicated in this column so it is clear that someone turned their mind to whether the item was relevant.

<sup>2</sup> Design Changes are any changes other than changes that are required by legislation (changes required by legislation are approved by SASC). The annual report from the Governance, Nominations & Human Resources Committee should reference any amendments that were approved by SASC.

**GOVERNANCE, NOMINATIONS & HUMAN RESOURCES COMMITTEE**

The Governance, Nominations & Human Resources Committee exercises an oversight role with respect to the SLT, a committee of senior management to which is assigned responsibility for most administrator and employer functions relating to the Plan, including all day-to-day operational matters. The Committee’s main function is to receive and consider reports from the SLT/SASC with respect to the administration of the Plan and the administration and investment of the Fund, as well as with respect to certain employer-related matters including the budget for the Plan. The Governance, Nominations & Human Resources Committee is also responsible for ensuring that the Board receives appropriate reporting on pension-related matters and makes recommendations to the Board on Plan design changes. The Governance, Nominations & Human Resources Committee may receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the Committee’s attention.

**Governance, Nominations & Human Resources Committee Checklist**

**January 1, 2014 to December 31, 2014**

| No. | Item  | Completion Date | Action Required/<br>Taken/Comments |
|-----|---|-----------------|------------------------------------|
| 1.  | Receives and considers reports from SLT/SASC on matters relating to the, administration and governance of the Plan and Fund | May 2014        | At least annually                  |
| 2.  | Receives and considers reports from SLT/SASC on investment options offered under the Plan                                   | June 2014       | At least annually                  |
| 3.  | Receives and considers reports from the SLT/SASC on employer-related matters, including the operational budget for the Plan | June 2014       | At least annually                  |
| 4.  | May receive submissions directly from the Pension & Benefits Committee  | N/A             | None                               |
| 5.  | Considers Plan design changes and makes recommendations to the Board.   | N/A             | None                               |
| 6.  | Ensures that the appropriate reporting on pension-related matters is made to the Board.                                     | June 2014       | At least annually                  |
| 7.  | Make changes to the Accountability Tool   | 2014 N/A        | None                               |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

**AUDIT & FINANCE COMMITTEE**

The Audit Committee has been assigned certain risk management functions and oversees the Plan audit. In carrying out its functions, it works with the SASC and particularly the CFO.

**Audit Board of Governors Checklist**

**January 1, 2014 to December 31, 2014**

| <b>&amp; Finance Committee No.</b> | <b>Item</b>   | <b>Completion Date</b> | <b>Action Required/<br/>Taken/Comments</b>          |
|------------------------------------|---|------------------------|---|
| 1.                                 | Performs risk management functions in relation to the Plan and Fund as part of its ERM responsibilities | January 2014           | In accordance with the Committee's normal practices |
| 2.                                 | Oversees pension audit as part of the audit of UOIT   | December 2014          | In progress   |
| 3.                                 | Receives reports from SLT/SASC/CFO on audit and risk management matters                                 | June 2014              | Done  |
| 4.                                 | Reports to the Board on risk management and audit issues  | June 2014              | Done  |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

### SENIOR LEADERSHIP TEAM (SLT)

The SLT is responsible for high level oversight of the sponsor, administration and investment functions. The SLT carries out its functions through a sub-committee, the SASC. As such, the SLT, as a committee of the whole, serves mainly as a resource for SASC (i.e., as a sounding board and/or to get input on issues which could have an impact on the University as a whole), receives reports and recommendations from the SASC, and ensures that appropriate reporting is made to the Governance, Nominations & Human Resources and Audit Committees of the Board. Finally, the SLT may receive submissions from the Pension & Benefits Committee if that Committee feels that it is necessary to bring a matter directly to the SLT's attention.

#### SLT Checklist

#### Board of Governors Checklist - January 1, 2014 to December 31, 2014

| No. | Item   | Completion Date | Action Required/<br>Taken/Comments                                 |
|-----|--|-----------------|--|
| 1.  | Receives reports from SASC   | Ongoing         | SLT meetings held weekly<br>Monday updates provided<br>as required |
| 2.  | Considers Plan design changes and makes recommendations to the Governance, Nominations & Human Resources Committee | 2014 N/A        | None   |
| 3.  | Ensures that appropriate reporting is made to the Governance, Nominations & Human Resources Committee              | June 2014       | Done   |
| 4.  | May receive submissions directly from the Pension & Benefits Committee   | 2014 N/A        | None   |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

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

The SASC exercises overall responsibility for the proper administration of the Plan and administration and investment of the Fund as well as certain employer-related responsibilities.

SASC’s responsibilities are carried out by three members of senior management, the VP, HR& Services, the Chief Financial Officer (CFO) and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the VP, HR & Services and P&B Staff report to him/her.

One of the main responsibilities of SASC is to oversee the activities of P&B Staff, which has primary responsibility for the day-to-day operations of the Plan. SASC ensures that the appropriate policies for the governance of the Plan and Fund are in place, appoints service providers, executes service contracts, and approves Plan amendments, deals with any material regulatory issues and reports to the SLT, the Governance, and Nominations & Human Resources as necessary or required.

Another key responsibility of SASC is to participate in meetings of the Pension & Benefits Committee and to serve as a liaison between the Pension & Benefits Committee and the SLT.

As a sub-committee of SLT, SASC (or a member thereof) is responsible for reporting is to the Governance, Nominations & Human Resources and Audit Committees of the Board.

**SASC Checklist  
January 1, 2014 to December 31, 2014**

| No. | Item  | Party Responsible                 | Completion Date                          | Action Required/<br>Taken/Comments  |
|-----|---|-----------------------------------|--|---|
| 1.  | Reviewing and approving the completed checklists/reports of P&B Staff   | VP, HR& Services                  | December 2014                            | In progress   |
| 2.  | Approving and executing Plan amendments and signing any related regulatory filings.                                 | VP, HR & Services/GC <sup>1</sup> | December 2014                            | In progress 6.01 Benefits on Retirement –payment of small amounts<br>6.03 Payment of Pension Surviving Spouse &<br>8.09 Shortened Life Expectancy         |
| 3.  | Approving and signing *all annual regulatory filings<br><br>Reporting for Plan Year (June 30, 2013 to July 1, 2014) | VP, HR& Services/GC <sup>2</sup>  | October 8, 2014<br><br>September 4, 2014 | <i>Annual Information Return –reviewed &amp; filed with FSCO*</i><br><br><i>Form 7- Contribution Summary-reviewed and filed with Sun Life (custodian)</i> |

<sup>1</sup> GC plays an advisory role on an as needs basis.

<sup>2</sup> GC plays an advisory role on an as needs basis.

| No. | Item   | Party Responsible   | Completion Date  | Action Required/<br>Taken/Comments  |
|-----|--|---|--|---|
| 4.  | Approves, reviews and amends SIPP  | VP, HR & Services/<br>GC, CFO <sup>3</sup>                  | December 2014  | Annual review –2014 completed -2014 Amendments N/A  |
| 5.  | Selecting third party service providers and negotiating and executing contracts.   | VP, HR&<br>Services/GC <sup>4</sup>                         | December 2014  | RFS conducted -top 4 Pension Investment Consultants invited were: AON Hewitt (current provider), Mercers, Towers Watson and Shepell Morneau and including the Waiver for Limited Invitational<br><br><b>Decision:</b> Mercer Awarded Contract |
| 6.  | Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements.  | CFO/ VP, HR&<br>Services <sup>5</sup>                       | December 2014  | Filed with FSCO   |
| 7.  | (a) Chairing the Pension & Benefits Committee and preparing the agenda<br><br>(b) Attending the pension & Benefits Committee | VP, HR& Services (or a delegate)<br><br>CFO (or a delegate) | February,<br>October,<br>November 2014<br><br>March 2014 | Distribution of Agenda Approval of Minutes<br><br>Participation in meeting and discussions.   |
| 8.  | Receiving and reviewing reports from P&B Staff regarding the performance of third party service providers                    | VP, HR & Services   | November 2014  | Reviewed recommendations for Limited Invitation for Pension Investment Consulting services to top 4 vendors and the RFS   |
| 9.  | Establishing service standards/benchmarks based on recommendations from P  | VP, HR & Services   | RFS Pension Investment completed                         | a) Sun Life Market review Done<br>b) Pension Investment   |

<sup>3</sup> GC and CFO play an advisory role on an as needed basis.

<sup>4</sup> GC plays an advisory role on an as needs basis.

\*FSCO –Financial Services Commission of Ontario

<sup>5</sup> VP, HR& Services plays an advisory role on an as needs basis



| No. | Item  | Party Responsible | Completion Date   | Action Required/<br>Taken/Comments  |
|-----|---|-------------------|---|---|
|     | & B Staff   |                   | December 31, 2014   | Consultant completed<br>c)KPMG-None required<br>d) External counsel – None Required   |
| 10. | Receiving and reviewing reports from P&B Staff regarding investment performance (and or having in-person meetings with provider(s) and consultants) | VP, HR & Services | 2014<br>Q1- May 2014<br>Q2- July 2014<br>Q3 –October 2014<br>Q4-January 2015  | Quarterly Rates of Returns reported to Plan Members<br><br>To be reported after 20014 Year end  |
| 11. | Receiving and reviewing member communication and education initiatives  | VP, HR& Services  | Includes # 10 above<br><br>January 2014<br><br>February 2014<br><br>March 2014<br><br>April 2014<br><br>April 2014<br><br>July 2014<br><br>September 2014 | 2013 Year End Pension Investment Report presented by AON Hewitt to P&B Committee<br><br>UOIT HR Website Retirement & Financial Resources added<br><br>It's My Time to Save Pension Presentation and Invitation to One on One sessions with SLF rep<br><br>UOIT Pension Plan Booklet announced in P & B Newsletter 2014 March/April<br><br><u>Guides</u><br>How to Read Your UOIT statement<br>How to Read Your Quarterly Rates of Return<br><br>Member communication to convert all Social Insurance Numbers used in production of Member Statements to Banner ID #s to protect privacy and confidentiality.<br><br>Notice to plan members notifying of U.S. Equity |

| No. | Item   | Party Responsible                    | Completion Date  | Action Required/<br>Taken/Comments   |
|-----|--|--------------------------------------|--|--|
|     |  |                                      | <p>October 2014</p> <p>2014- April, July, September</p>              | <p>Fund change from the non-registered version to the registered version</p> <p>It's My Time to Retire- Understanding Retirement Income Options. One on One sessions with SLF representative</p> <p>Quarterly Pension &amp; Benefits Newsletters</p> |
| 12. | Reviewing and approving the annual expense budget  | VP, HR& Services/GC <sup>6</sup>     | Budget Approval April 24, 2014                                       | In accordance with normal practice   |
| 13. | Considering and approving P&B Staff's recommendations with respect to Plan design changes; initiating recommendations with respect to Plan design changes as required.         | VP, HR& Services/CFO                 | <p>December 2014</p> <p>To be reviewed and approved by SASC 2015</p> | <p>Amendments for small benefits payout and Shortened Life Expectancy approved by SASC</p> <p>Restatement of pension plan text to incorporate in all amendments to date</p>  |
| 14. | Considering and approving P&B Staff's recommendations with respect to development of new policies and changes to existing policies; initiating policy development as required. | VP, HR& Services/GC,CFO <sup>7</sup> | <p>August 2014</p> <p>Includes items in #13</p>                      | Review of Proposed 2015 Pension Education Strategy   |
| 15. | Dealing with material regulatory issues.   | VP, HR& Services/GC                  | 2014 N/A   | None   |

<sup>6</sup> GC plays an advisory role on an as needs basis.

<sup>7</sup> GC and CFO play an advisory role on an as needed basis.

| No. | Item  | Party Responsible                   | Completion Date  | Action Required/<br>Taken/Comments  |
|-----|---|-------------------------------------|--|---|
| 16. | Working with the Audit Committee to address risk management issues  | VP, HR & Services/GC <sup>8</sup>   | 2014 N/A   | None  |
| 17. | Overseeing governance review using CAPSA governance tool  | CFO/ VP, HR & Services <sup>9</sup> | April 29, October 29 & December 16th   | SASC meetings   |
| 18. | Preparing and delivering report(s) to the<br><br>a) SLT<br>b) Governance, Nominations & Human Resources Committee<br>c) Audit Committee<br>d) Board | GC/ VP, HR & Services <sup>10</sup> | Ongoing Meetings with P & B Staff<br><br>April 29, October 29 & December 16<br><br>a) Every Monday<br>b) May 13, 2014<br>c) February 27, 2014<br>d) March 2015 | Updates provided by P & B Staff to VP, HR Services<br><br>SASC Committee Meeting<br><br>Continued regular reporting |
| 19. | Ensuring that the Accountability Tool is completed on an annual basis and maintaining a record of the completed Checklists                          | VP, HR & Services/CG/CFO            | December 2014  | SASC Committee meeting review of 2014 Checklists and approval   |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

<sup>8</sup> GC plays an advisory role on an as needs basis.

<sup>9</sup> VP, HR & Services plays an advisory role on an as needs basis

<sup>10</sup> VP, HR & Services plays an advisory role on an as needs basis



**PENSION & BENEFIT (P&B) STAFF**

P&B Staff is responsible for managing the day-to-day operations of the Plan and Fund. Many of the responsibilities in the P&B Staff Checklist may be carried out by third party service providers and in that case P&B Staff’s role is primarily one of co-ordination, monitoring and supervision.

P&B Staff is responsible on an ongoing basis for enrolling Plan members, maintaining historical records of individual members, sending each member an annual statement, calculating and processing retirement, termination, marital breakdown and death payments, and responding to questions from members and former members, ensuring contributions are remitted to the custodian, reviewing monthly pension payments from the fund, making recommendations to the VP, HR & Services with respect to service providers, recommending service standards/benchmarks to VP, HR & Services, monitoring accuracy and timeliness of major services/investment options against established performance standards, explaining and providing written explanations to members about the Plan provision and members’ rights and obligations with respect to the Plan, promoting awareness of the Plan and its provisions among the members and beneficiaries, providing member education programs, assisting the VP, HR & Services and GC in the negotiation of contracts with third party service providers, ensuring that expenses relating to the operation of the Plan are paid within the budget established by the VP, HR & Services and CFO, and ensuring that the Plan is administered in accordance with applicable legislation and all filed documents, including interpreting the Plan document as necessary. P&B Staff also ensures that the Accountability Tool is completed on an annual basis and provided to the VP, HR & Services and for maintaining appropriate records.

The attached checklists are intended to assist P&B Staff in carrying out the foregoing responsibilities to form the basis of P&B Staff’s report to the VP, HR & Services. They consist of an administrative checklist, a regulatory compliance checklist, a key document checklist, and a service provider checklist and accompanying evaluation forms.

**P & B STAFF ADMINISTRATIVE CHECKLIST\***

**January 1, 2014 to December 31, 2014**

| No. | Item   | Prepared By | Completion Date | Action Required/<br>Taken/Comments  |
|-----|--|-------------|-----------------|---|
| 1.  | Certified copies of all documents that create and support Plan amendments made during the year | AON Hewitt  | December 2014   | Approved by SASC<br>6.01 Benefits on Retirement – payment of small amounts<br>6.03 Payment of Pension -Surviving Spouse<br>8.09 Shortened Life Expectancy |

| No. | Item   | Prepared By                            | Completion Date  | Action Required/<br>Taken/Comments   |
|-----|--|--|--|--|
| 2.  | Information with respect to the remittance of employer contributions to the custodian or reallocation of assets within the Fund. | Payroll and verified by HR P & B Staff | <p><b>Full time -2014</b><br/><b>January to December</b></p> <p><b>Less than Full time or Limited Term</b><br/>January to December<br/>Bi-Weekly</p> | <p>Each pay cycle either monthly or bi-weekly, as the case may be, payroll deductions are processed by payroll and verified by P &amp; B Staff</p> <p>Cumulative amounts are monitored to ensure CRA limits do not exceed the maximum permitted under the Income Tax Act<br/>2014 maximum \$24,930</p> |
| 3.  | Reports and returns filed with the Financial Services Commission of Ontario ("FSCO") and Canada Revenue Agency ("CRA").          |  | <p><b>October 28, 2014</b></p> <p><b>September 4, 2014</b></p> <p><b>December 2014</b></p>   | <p><i>Annual Information Return</i> – filed with FSCO*</p> <p>Form 7-<br/><i>Contribution Summary Form</i> reported to Sun Life</p> <p><i>Audited Financial Statements</i> filed with FSCO</p>   |
| 4.  | Summaries of Pension Adjustments ("PAs").  | Payroll                                | <p><b>2014 – PA reviewed completed for 2013</b></p> <p><b>January 2015</b></p>   | <p>Done</p> <p>2014 Pension Adjustments year-end review</p>  |
| 5.  | Summaries of Pension Adjustment Reversals ("PARs")   | N/A                                    | N/A  | Applicable to DB plans UOIT Pension Plan is DC   |
| 6.  | Annual Information Return  | Pension & Benefits Staff               | <b>October 28, 2014</b>  | Done   |
| 7.  | Form 7, Summary of Contributions/Revised Summary of Contributions  | Pension & Benefits Staff               | <b>September 4, 2014</b>   | Done   |
| 8.  | Financial Statements (including auditor's report)  | KPMG and UOIT                          | <b>December 2014</b>   | Done   |

| No. | Item  | Prepared By                | Completion Date  | Action Required/<br>Taken/Comments  |
|-----|---|----------------------------|--|---|
| 9.  | Copy of SIPP as either confirmed or amended by VP, HR & Services      | Confirmed                  | December 2014  | In progress   |
| 10. | Reports on monitoring of investment options                           | AON Hewitt<br><br>Sun Life | January 2014<br><br>July 2014<br><br>Quarterly reporting   | Done -For Year End 2013<br><br>AON Hewitt Analysis and recommendation to change from non-registered version of Black Rock U.S. Equity to registered version   |
| 11. | Information with respect to the monitoring of Plan expenses           | Fees paid by members       | Reported quarterly on Member statements each quarter   | Pension Plan statements available online quarterly and mailed to member's home address in January (yearend statement) and July (semi-annual statement)  |
| 12. | Information with respect to the monitoring of fees charges to members | Sun Life                   | Reported on Member statements each quarter   | see comments # 11   |
| 13. | Information with respect to the enrolment of new members              | UOIT and Sun Life          | 1 <sup>st</sup> day of hire for full time continuing (FTC) or;<br><br>Less than full time or limited term employees (LTE) when criteria attained | All FTCs are eligible to join the plan from their date of hire<br><br>Eligibility for less than full time or LTE employees 24 months of consecutive employment with the University having attained either:<br><br>a) 700 hours in each of the 2 years or; |

| No. | Item   | Prepared By       | Completion Date   | Action Required/<br>Taken/Comments   |
|-----|--|-------------------|---|--|
|     |  |                   | Meeting with each eligible pension plan member for enrolment and information session  | b) 35% YMPE in each of the previous 2 years*<br><br>Prior to or on date of hire for FTCs. For LTE upon eligibility date.   |
| 14. | Information with respect to the termination and death benefit payments made from the Fund.   | UOIT and Sun Life | N/A   | 2014 None  |
| 15. | Information with respect to marriage breakdowns  | Sun Life          | N/A   | 2014 None  |
| 16. | Information with respect to numbers of member and active members   | Sun Life          | Monthly   | Reports available at any time on Sun Life Plan Sponsor website to access current statistics  |
| 17. | Information with respect to the annual statements provided to members, including sample statements.  | UOIT and Sun Life | March 2014  | <a href="#">Guides</a> available at UOIT HR Pension website How to read your Pension Statement   |
| 18. | Information with respect to the written explanations provided to the members about the Plan provisions and the members' rights and obligations with respect to the Plan. | UOIT and Sun Life | March 31, 2014<br><br>Ongoing-<br>Full time continuing Pension and Benefits Sign Up meeting (prior to date of hire)<br><br>Less than full time or limited term employees' pension sign up meeting date of eligibility | <a href="#">UOIT DCPD Member Booklet</a> (summary of plan text rules) UOIT HR Pension website<br>My Money Investment Guide<br><br>Pension & Benefits At a Glance |
| 19. | Information with respect to the  | UOIT and Sun Life | Semi-Annually Group   | Done-It's My time  |



| No. | Item  | Prepared By   | Completion Date   | Action Required/<br>Taken/Comments   |
|-----|---|---|---|--|
|     | educational or other information provided to Plan members about the Plan and financial planning for retirement. |   | Information Workshops followed by one on one sessions Spring & Fall Spring of 2014                          | to Save –Spring Done It’s My Time to Retire -Fall  |
| 20. | Information with respect to any regulatory or other administrative issues that arose during the year.           | Amendment for wording to Plan text requested by CRA | N/A   | None   |
| 21. | Information with respect to member complaints   | Sun Life  | 2014- N/A   | None   |
| 22. | Reports on retention of new service providers/copy of completed third party evaluations                         | Sun Life  | January 2015  | RFS for Pension Investment Consultant – completed -Mercer Awarded Contract   |
| 23. | Copies of any legal opinions obtained during the year.  | N/A   | N/A   | None   |
| 24. | Copy of completed regulatory compliance checklist   | UOIT  | December 2014   | Scheduled for SASC in December   |
| 25. | Report on the results of the reviews of and/or amendments to any Key Plan Documents                             | AON Hewitt<br><br>AON Hewitt                        | March 11, 2014- Performance Review and Investment Manager<br><br>December 2014 SIP & P<br><br>December 2014 | Done–Mercer Awarded contract<br><br>Done- no changes<br><br>Approved by SASC - 6.01 Benefits on Retirement – payment of small amounts & & 6.03 Payment of Pension a& Surviving Spouse 8.09 Shortened Life Expectancy |

\*YMPE (Year’s Maximum Pensionable Earnings) and 35%

- 2014 YMPE \$52,500/\$18, 375
- 2015 YMPE \$53,600/\$18,760

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

**P&B STAFF : REGULATORY COMPLIANCE CHECKLIST**

This checklist is intended as a guide to the regulatory responsibilities of UOIT as the administrator of the University of Ontario Institute of Technology Pension Plan (the “Plan”), an Ontario registered pension plan.

For the purpose of this checklist the following abbreviations are used:

|  |          |
|--|----------|
| Pension Benefits Act (Ontario)   | PBA      |
| Regulations under the Pension Benefits Act (Ontario)   | PBA Reg. |
| Federal Investment Regulations (i.e. sections 6, 7, 7.1 and 7.2 and Schedule III to the PBSA Regulation, 1985 (Canada) | FIR      |
| Income Tax Act (Canada)  | ITA      |
| Regulations to the Income Tax Act  | ITA Reg. |
| Financial Services Commission of Ontario   | FSCO     |
| Canada Revenue Agency  | CRA      |

|  | Legislation                           | Time Limit (if any)  | Person Responsible | Comments  |
|--|---------------------------------------|--|--------------------|---|
| (a) Filing of Plan Documents   |                                       |  |                    |   |
| <input type="checkbox"/> File certified copy of plan amendments with Superintendent along with Form I.1.   | PBA s.12(1), (2)                      | Within 60 days after the date on which the plan is amended.  | N/A                | None  |
| <input type="checkbox"/> File with Superintendent certified copies of each document that changes the documents that create and support the plan or pension fund (e.g. trust documents). File with CRA as appropriate.  | PBA s.12(3)<br>ITA Reg. 8512(2)       | Within 60 days after the date on which the plan is amended.<br><br>July 24, 2003<br><br>September 13, 2004   | AON Hewitt         | Done<br><br>UOIT DCP<br>FSCO – Plan registration<br><br>CRA – Plan registration |
| <input type="checkbox"/> File explanation of amendment transmitted to members with Superintendent.   | PBA s.26(3)<br>Reg. 3(4)              | Within 6 months after registration of the amendment. (If amendment is adverse (i.e. reduces benefits or rights on a go forward basis), Superintendent may require explanation to be provided prior to registration.) | 2014 N/A           | None  |
| <input type="checkbox"/> If Superintendent dispenses with notice of the amendment required under s.26(3) of the PBA, then must provide notice of amendment with next annual statement to members.  | PBA s.26(4), 27<br>Reg. 39(2)         |  | 2014 N/A           | None  |
| <input type="checkbox"/> File copy of notice of adverse amendment provided to members (if such notice was required) with Superintendent and certify details as to classes of persons who received notice, date when last such notice given and that notice was provided as required. | PBA s. 26(1)<br>Reg. 3(3)             | Within 30 days after the date on which the last of the notices was transferred.<br><br>See under section (c) below regarding required disclosure of adverse amendments to members.                                   | 2014 N/A           | None  |
| <input type="checkbox"/> File certified copy of amendments with CRA along with form T920.  | ITA 147.1(4)<br>ITA Reg. 8512(2), (3) | Within 60 days after the date the amendment is made.   | 2014 N/A           | None  |

|  | Legislation   | Time Limit (if any)   | Person Responsible      | Comments  |
|--|---|---|-------------------------|---|
| <b>(b) Reporting Requirements</b>  |   |   |                         |   |
| <input type="checkbox"/> File an annual information return.  | PBA s.20(1)<br>Reg. 18(1),<br>(6), (7)<br>Reg. 37<br>ITA Reg.<br>8409(1), (2) | 9 months after the plan's fiscal year end.<br><b>October 28, 2014</b>   | P & B Staff             | Done -Annual Information Return – filed with FSCO   |
| <input type="checkbox"/> File financial statements (including auditors' report where plan assets exceed \$3 million) | Reg. 76   | By June 30 of the year following the plan's fiscal year end.<br><b>December 31, 2014</b>  | Finance and P & B Staff | Audited Financial Statements filed with FSCO  |
| <input type="checkbox"/> Review SIP&P and amend/confirm annually.  | Reg. 79<br>FIR, s.7.2(1)  | <b>December 2014</b>  | VP HR and Services      | Confirmed by VP HR & Services   |
| <b>(c) Disclosure to Members</b>   |   |   |                         |   |
| <input type="checkbox"/> Explain plan provisions to employees who will become eligible to join the plan.             | PBA s. 25(2)(b)<br>Reg. 38  | At least 60 days before employees become eligible.<br><b>Date of Hire or date when the employee meets with part-time pension eligibility criteria</b> | Payroll and P& B Staff  | Full time continuing Pension and Benefits Sign Up meeting (prior to date of hire)<br><br>Less than full time or limited term employees' pension sign up once eligibility criteria met |

|   | Legislation                        | Time Limit (if any)   | Person Responsible | Comments   |
|---|------------------------------------|---|--------------------|--|
| <input type="checkbox"/> Explain Plan provisions to persons who become eligible for plan membership upon becoming employed.   | PBA s. 25(2)(c)<br>Reg. 38         | <p>Within 60 days after employees commence employment.</p> <p>Every eligible employee meets with P &amp; B Staff for sign up</p> <p>Pension and Benefits Sign up meetings prior to date of hire for full time continuing employees.</p> <p>For less than full time employees - on or near the date in which the employee has met the required criteria to join the pension plan</p> | P & B Staff        | <p>Eligibility for less than full time or Limited Term</p> <p>Employees 24 months of consecutive employment with the University having attained either:</p> <p>a) 700 hours in each of the 2 years or;</p> <p>b) 35% YMPE in each of the previous 2 years*</p> |
| <input type="checkbox"/> Provide notice and explanation of non-adverse amendments to affected members.  | PBA s. 26(3)<br>Reg. 39(1)         | Within 60 days after provincial registration.   | N/A                | None   |
| <input type="checkbox"/> Provide notice and explanation of adverse amendments to affected members if Superintendent requires.   | PBA s.26(1), (2)<br>Reg. 3(3), (4) | At least 45 days prior to registration of the amendment.  | N/A                | None   |
| <input type="checkbox"/> Provide annual statement of benefits as prescribed.  | PBA s.27<br>Reg. 40(1), (2)        | 6 months after the plan's fiscal year end.  | Sun Life           | <p>Pension Statements Quarterly on line</p> <p>Pension Statements mailed semi-annual to home address</p>   |
| <input type="checkbox"/> Make documents that create and support the pension plan and other prescribed information available for inspection by members and others as entitled. | PBA s. 29, 30<br>Reg. 45           | Within 30 days after receipt of written request.  | P & B Staff        | 2014 No requests received  |

|  | Legislation  | Time Limit (if any)  | Person Responsible | Comments   |
|--|--|--|--------------------|--|
| <input type="checkbox"/> Provide termination statement containing prescribed information for termination of employment in situations other than retirement or death.   | PBA s. 28<br>Reg. 41(1), (2), 42                             | Within 30 days after termination of employment or, where notice of termination is not provided to the administrator prior to the event, within 30 days after receipt of such notice. | Sun Life           | Termination statements are issued in 2 weeks from date of departure  |
| <input type="checkbox"/> Where a plan member who is not entitled to a pension or deferred pension terminates employment in situations other than retirement or death, the administrator must pay any refund to which the member is entitled. | Reg. 42(3), (4)<br><br>42. revoked:<br>O. Reg. 178/12, s. 40 | Within 60 days after termination or, where a member has an option for receiving a refund, within 60 days after receipt of a direction from the member.                               | Sun Life           | Payments are paid within 30 days where refund of Additional Voluntary, if any, contributions elected by the member and direction from member |

|  | Legislation   | Time Limit (if any)  | Person Responsible | Comments   |
|--|---|--|--------------------|--|
| <input type="checkbox"/> Provide retirement statement and options for payment of pension.  | PBA s.28<br>Reg. 44                                     | <p>At least 60 days prior to the member's normal retirement date or the date at which the member has indicated he or she intends to retire.</p> <p>If the administrator does not receive adequate notice of the intended retirement to comply with the 60 day time requirement, the administrator shall provide the required information within 30 days following receipt by the administrator of a completed application for commencement of the pension.</p> | Sun Life           | <p>Sun Life transfers the value of the member's pension account in accordance with the member's within 30 days direction to transfer to a retirement income option.</p> <p>Commencement of pension from DC N/A applicable to DB plans where a benefit is payable directly from the pension fund.</p> |
| <input type="checkbox"/> Provide statement of benefits payable upon death to spouse, beneficiary or estate.  | PBA s.28<br>Reg. 43(1)                                  | Within 30 days after receipt of notice of death of member or former member.  | Sun Life           | None   |
| <input type="checkbox"/> Comply with surviving spouse's election regarding pre-retirement benefits.  | Reg. 43(3)  | Within 60 days after receiving direction from spouse or same-sex partner.  | Sun Life           | None   |
| <input type="checkbox"/> In cases of marital breakdown, calculate the value of the pension, as requested by the member and/or spouse using Superintendent of Financial Services approved forms throughout the process. | PBA s. 67.1 – 67.6<br>Ont. Reg. 287/11 (Family Matters) | Within 60 days of receiving a completed application  | Sun Life           | None   |

|  | Legislation                           | Time Limit (if any)   | Person Responsible   | Comments  |
|--|---------------------------------------|---|----------------------|---|
| (d) Miscellaneous  |                                       |   |                      |   |
| <input type="checkbox"/> If benefit transfer request made within 60 days of termination of employment, pay in accordance with request. Must ensure that transfers to retirement savings arrangements or deferred life annuities will be administered as pensions or deferred pensions. | PBA s.42(1), (5), (6), (7)<br>Reg. 20 | Within 60 days after request.   | Sun Life             | Done -processed as termination instructions received from members   |
| <input type="checkbox"/> Ensure all contributions are paid when due.   | PBA s.56(1)<br>Reg. 4(4)<br>Reg. 5(1) | Employer contributions in respect of normal costs: within 30 days after the month for which contributions are payable.                                | Payroll, P & B Staff | Contributions are invested by pay date.<br><br>Contributions received before 2p.m. invested same day after 2p.m. next day |
| <input type="checkbox"/> Report to Superintendent if contributions are not made when they become due.  | PBA s.56(2)<br>Reg. 6.1               | Within 60 days after the day on which the contribution was due.   | Sun Life             | None reported   |
| <input type="checkbox"/> Provide pension fund trustee with a summary of contributions required to be made.   | PBA s.56.1(1)<br>Reg. 6.2(1)          | Within 90 days after the pension plan is established for the first fiscal year and within 60 days after the beginning of each subsequent fiscal year. | N/A                  | Applicable when a contribution is <u>not</u> remitted<br><br>No delays to report  |
| <input type="checkbox"/> Provide pension fund trustee with a revised summary of contributions required to be made.   | Reg. 6.2(2)                           | Within 60 days after becoming aware of a change in contributions.   | N/A                  | Applicable when contribution is <u>not</u> remitted<br><br>No delays  |
| <input type="checkbox"/> Pension Adjustments must be reported to CRA in the appropriate manner.  | ITA Reg. 8401                         | On or before the last day of February of the year following the end of the calendar year.   | Payroll              | Prior to February 28 of each year T4 distribution deadline  |



|  | Legislation      | Time Limit (if any)  | Person Responsible | Comments   |
|--|------------------|--|--------------------|--|
| <input type="checkbox"/> Pension Adjustment Reversals must be reported to CRA.   | ITA Reg. 8402.01 | When the Termination occurs in the 1 <sup>st</sup> , 2 <sup>nd</sup> , 3 <sup>rd</sup> quarter of the calendar year, within 60 days after the last day of the quarter in which the termination occurs. When the termination occurs in the 4 <sup>th</sup> quarter, before February 1 of the following calendar year. | N/A                | Applicable to DB plans –not applicable to UOIT defined contribution pension plan<br><br>No action required |
| <input type="checkbox"/> Where there is a change in the name or address of person who is administrator or persons who constitute the body that is the administrator, inform the Minister of National Revenue in writing within 60 days after the change. | ITA 147.1(7)(c)  |  | N/A                | No change  |

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

**P&B STAFF: KEY PLAN DOCUMENT CHECKLIST\***

This checklist is designed to ensure that a complete record of the key documents used in the administration of the Plan and the administration and investment of the Fund is maintained in an accessible manner and that reviews of the key documents are carried out at regular intervals to ensure they are updated to reflect current information and practices.

**P&B STAFF: KEY PLAN DOCUMENT CHECKLIST**

**January 1, 2014 to December 31, 2014**

| No. | Document   | Last Review Date                    | Next Scheduled Review Date, if any | Review Completed By                            | Action Required/ Taken/Comments  |
|-----|--|-------------------------------------|------------------------------------|--|--|
| 1.  | Plan text  | November 2013                       | December 2014                      | P & B Staff and VP HR & Services<br>AON Hewitt | SASC approved-Amendments – 6.01 Benefits on Retirement –payment of small amounts & 6.03 Payment of Pensions & 8.09 Shortened Life Expectancy |
| 2.  | Custodial Agreement (under Group Annuity Contract)             | 2003                                | 2015                               | N/A  | Non-trusteed arrangement   |
| 3.  | Record-keeping Agreement (Sun Life Service Fee Agreement)      | April 2013                          | 2015                               | P & B Staff and VP HR & Services, AON Hewitt   | Market Review  |
| 4.  | Insurance Policy Sun Life Group Annuity Contract               | June 27, 2003 renewed April 1, 2013 | 2015                               | P & B Staff and VP HR & Services               | New provision required to provide for new default option at age 71<br><br>Market Review  |
| 5.  | Statement of Investment Policies and Procedures (see Appendix) | November 2013                       | December 2014                      | VP HR & Services                               | No changes in 2014   |
| 6.  | Investment Consulting Agreement                                | December 2014                       | 2018                               | VP HR & Services                               | RFS-completed– Mercer new provider   |

\*A binder of key documents is retained in Human Resources by P & B Staff

Green-completed  
 Yellow-in progress  
 Red-outstanding

Agenda Item 15.2

| No. | Document   | Last Review Date  | Next Scheduled Review Date, if any | Review Completed By              | Action Required/ Taken/Comments  |
|-----|--|-------------------|------------------------------------|----------------------------------|--|
| 7.  | Governance Documentation (including Board resolution approving UOIT Pension Plan Governance Structure and Functions Chart and Accountability Tool) | November 19, 2013 | N/A                                | SASC                             | None   |
| 8.  | Employee Booklet   | March 2014        | N/A                                | VP HR & Services and P & B Staff | Done   |
| 9.  | Service Provider Benchmarks  | December 2014     | 2018                               | SASC                             | RFS for Pension Investment Consultant completed<br>Mercer awarded contract |

**P&B STAFF: THIRD PARTY SERVICE REVIEW**

This checklist is designed to ensure that agents and advisors retained by the Plan are meeting the performance standards expected by the Plan administrator. This is a particularly critical component of the governance system in the case of agents of the Plan administrator. For PBA purposes, an agent is a service provider that is performing a function that the administrator would otherwise have to perform itself (e.g., a record keeper or investment manager) and therefore it is particularly important to ensure the agent is meeting the PBA fiduciary standard of care (as the Plan administrator will be liable if it does not). Advisors fall into a different category since they only give advice to the administrator who makes the ultimate decision on the matter as part of its functions. Nonetheless it is important for the ongoing operations of the Plan that advisors are evaluated to ensure that they are providing their services to the expected standards. Finally, the external auditor falls into its own category in that it is performing specific functions under the PBA. Nonetheless, again, it is important for the Plan administrator to be satisfied that the external is providing its services to the expected standards and to report any issues to the Audit Committee.

A review of the services provided by employees of the Plan administrator should also be undertaken. This review generally occurs as part of the normal course HR processes. Board and management committees should perform self-evaluations at specified intervals (this should be addressed in a governance policy) or from to time may wish to commission third party evaluations of their governance of the Plan.

**P&B STAFF: THIRD PARTY SERVICE REVIEW January 1, 2014 to December 31, 2014**

| No. | Item  | Reviewed by  | Completion Date | Action Required/<br>Taken/Comments            |
|-----|---|--|-----------------|---|
| 1.  | Performance Review of Trustee/<br>Custodian   | AON Hewitt   | April 24, 2013  | Market Review<br>Sun Life Next review<br>2018 |
| 2.  | Performance Review of<br>Investment Manager, i.e.,<br>provider of investment platform<br>for the Plan | P & B advisory<br>committee<br>V.P. HR &<br>Services | April 24, 2013  | Market Review<br>Sun Life Next review<br>2018 |
| 3.  | Performance Review of Record-<br>Keeper   | P & B advisory<br>committee<br>V.P HR &<br>services  | April 24, 2013  | Market Review<br>Sun Life Next review<br>2018 |
| 4.  | Performance Review of<br>Investment Consultant  | N/A  | December 2014   | Completed Contract<br>awarded to Mercer       |
| 5.  | Performance Review of<br>External Legal Counsel   | N/A  | N/A             | None required                                 |
| 6.  | Performance Review of<br>External Auditor   | N/A  | N/A             | None required                                 |

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

**DC-UOIT Academic Pathways Report - Detailed:**

This report presents student mobility at both Durham College and the University of Ontario Institute of Technology (UOIT) for students from respective institutions.

Figures and tables will be presented for both UOIT and Durham College with results presented in three sections:

Section 1: Pathways Students, presents data on the new non-direct students at each institution;

Section 2: Programs of Interest, presents the programs with the greatest uptake in recent years; and

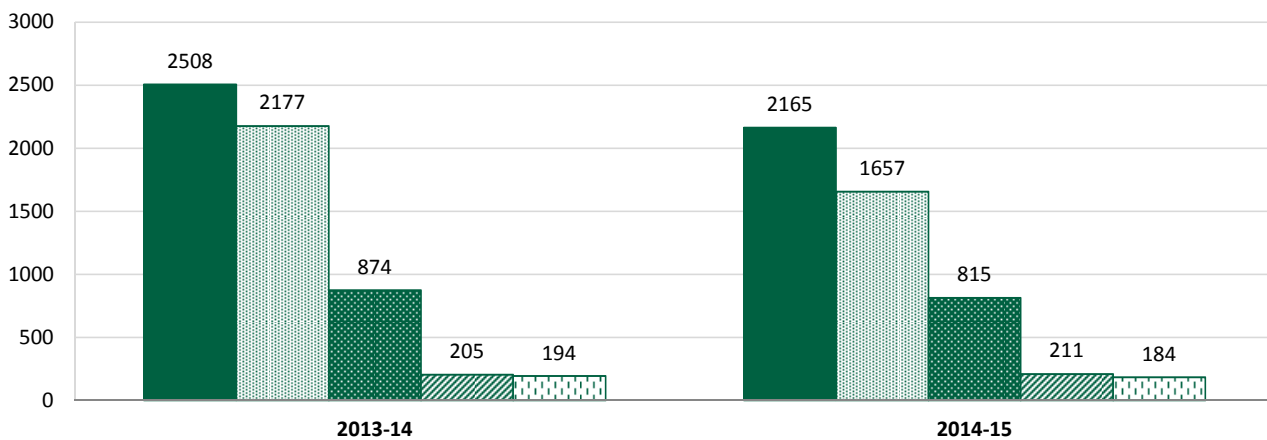
Section 3: Articulation agreements, presents the new pathway and articulation agreements recently established.

**Section 1: Pathways Students <sup>1,2</sup>**

**Pathways Students (UOIT --> Durham College)**

Figure 1 displays the progressive totals for all students that can be identified as a 'new' non-direct student enrolment at Durham College for the previous two years. Students who declared their previous educational experience at Durham College are included only if the student was not enrolled as a Continuing Education student, Academic Upgrading student, or a student returning from an uncompleted program.

**Figure 1: Durham College Data**



| Student Population   | 2013-14 | 2014-15 |
|--|---------|---------|
| Starting Student Population: Number of non-direct students new to Durham College                             | 2508    | 2165    |
| Subset 1: # of students declaring a previous Post-Secondary experience in Ontario                            | 2177    | 1657    |
| Subset 2: # of students declaring a non-Durham College Post-Secondary experience                             | 874     | 815     |
| Subset 3: # of students declared having a UOIT experience  | 205     | 211     |
| Subset 4: # of students that were confirmed as having a UOIT experience and declared it on their application | 194     | 184     |

For the 2014-15 reporting year, the total number of Durham College students that can be confirmed by UOIT as having a registration record in the previous year is 184 students. Additionally, there are some students with a registration record and failed to declare it, as well as students that declared having an enrolment, but fail to have a registration record at the time of validation. All three categories are presented below:

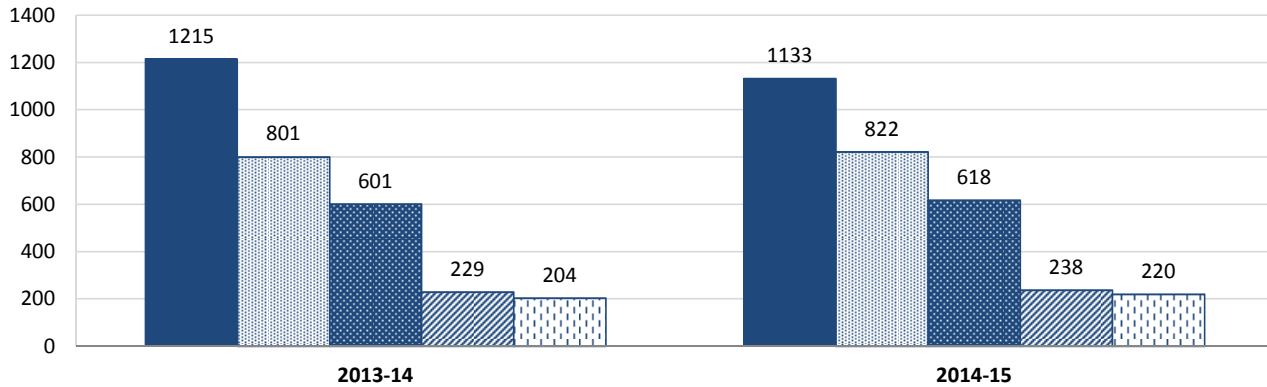
- 184 students declared a UOIT experience and had an enrolment record;
- 27 students declared a UOIT experience, but DID NOT have an enrolment record; and
- **108 students DID NOT declare their UOIT experience, but had an enrolment record.**

Additionally, of the 184 students where a UOIT record was declared and confirmed in 2014-15, 27 enrolled in certificate programs (14.7%), 104 enrolled in diploma or advanced diploma programs (56.5%), 46 enrolled in graduate certificate programs (25.0%), and 7 enrolled in fast track programs (3.8%).

**Pathways Students (Durham College --> UOIT)**

Figure 2 displays the progressive totals for all students that can be identified as a 'new' non-direct student enrolment at UOIT for the previous two years. Students declaring a previous educational experience do not include readmit students.

**Figure 2: UOIT Data**



| Student Population  | 2013-14 | 2014-15 |
|---|---------|---------|
| Starting Student Population: Number of non-direct students new to UOIT  | 1215    | 1133    |
| Subset 1: # of students declaring a previous PSE experience   | 801     | 822     |
| Subset 2: # of students declaring an experience at a college  | 601     | 618     |
| Subset 3: # of students declaring a Durham College experience   | 229     | 238     |
| Subset 4: # of students that were confirmed with a Durham College experience and declared it on their application | 204     | 220     |

For the 2014-15 reporting year, the total number of UOIT students that can be confirmed by Durham College as having a registration record in the previous year is 220 students. Additionally, there are some students with a registration record and failed to declare it, as well as students that declared having an enrolment, but fail to have a registration record at the time of validation. In summary,

- 220 students declared a DC experience and had an enrolment record;
- 18 students declared a DC experience, but DID NOT have an enrolment record; and
- **25 students DID NOT declare their DC experience, but had an enrolment record.**

Additionally, of the 220 students where a Durham College record was declared and confirmed in 2014-15, 13 students had a partial Durham College experience i.e. they did not graduate (5.9%), 117 graduated from a Durham College program and enrolled in programs with articulated pathways (53.2%), and 90 graduated from a Durham College program, and enrolled in a non-articulated UOIT pathways (40.9%).

**Section 2: Programs of Interest**

Tables 1 and 2 present student enrolment data at an aggregate level. Table 1 identifies the top five programs of interest among Durham College students into UOIT programs. Table 2 identifies the top five programs of interest among UOIT students into Durham programs. In order to determine the rank of each program, the summed student enrolment for the most recent two years is used.

| Table 1: Durham College Program              |            |                         |        |                         |        |
|--|------------|-------------------------|--------|-------------------------|--------|
| Program (and program type)                   | Sum Total* | 2013-14<br>(# students) | as a % | 2014-15<br>(# students) | as a % |
| Registered Nurse - Critical Care Nursing     | 25         | 7                       | 3.7%   | 18                      | 9.8%   |
| Business - Accounting                        | 21         | 13                      | 6.8%   | 8                       | 4.3%   |
| Court And Administrative Tribunal Agent      | 19         | 8                       | 4.2%   | 11                      | 6.0%   |
| General Arts And Science - One-year (Health) | 12         | 9                       | 4.7%   | 3                       | 1.6%   |
| Electro-mechanical Engineering Technology    | 11         | 5                       | 2.6%   | 6                       | 3.3%   |
| Practical Nursing                            | 11         | 7                       | 3.7%   | 4                       | 2.2%   |
| Police Foundations                           | 11         | 7                       | 3.7%   | 4                       | 2.2%   |

\* Sum Total refers to two-year total for 2013-14 and 2014-15

| Table 2: UOIT Program          |            |                         |        |                         |        |
|--------------------------------|------------|-------------------------|--------|-------------------------|--------|
| Program (and program type)     | Sum Total* | 2013-14<br>(# students) | as a % | 2014-15<br>(# students) | as a % |
| BA (Hons), Crim Justice Bridge | 142        | 79                      | 38.7%  | 63                      | 28.6%  |
| BSc in Nursing                 | 40         | 20                      | 9.8%   | 20                      | 9.1%   |
| BA(Hons), Legal Studies Bridge | 29         | 15                      | 7.4%   | 14                      | 6.4%   |
| BCom                           | 29         | 14                      | 6.9%   | 15                      | 6.8%   |
| BCom (Hons) Bridging Program   | 26         | 12                      | 5.9%   | 14                      | 6.4%   |
| BHSc (Hons)                    | 26         | 11                      | 5.4%   | 15                      | 6.8%   |

\* Sum Total refers to two-year total for 2013-14 and 2014-15

**Section 3: Articulation Agreements**

13 additional articulation agreements either establishing new pathways or upgrading prior ones have been signed between the two institutions since 2012-13. In addition to the general pathways, there are now 44 bridge, 12 direct entry and 2 bridge/direct entry pathways into the 18 degree programs at UOIT. Table 3 presents a list of the articulation agreements between Durham College and UOIT.

**Table 3: Pathway Agreements (presented as per Durham College School program assignment)**

|  | <b>Durham Program</b>                                  | <b>UOIT Program</b>  | <b>Type of Entry</b> |
|--|--|--|----------------------|
| <b>School of Media, Art and Design (N=7)</b>                             |  |  |                      |
| 1  | Advertising and Marketing Communications Management    | BA (Hons) in Communication   | Bridge               |
| 2  | Journalism – Print and Broadcast                       | BA (Hons) in Communication   | Bridge               |
| 3  | Public Relations                                       | BA (Hons) in Communication   | Bridge               |
| 4  | Animation – Digital Arts                               | BIT (Hons) in Game Development and Entrepreneurship                                  | Bridge               |
| 5  | Animation – Digital Production                         | BIT (Hons) in Game Development and Entrepreneurship                                  | Bridge               |
| 6  | Contemporary Web Design                                | BIT (Hons) in Game Development and Entrepreneurship                                  | Bridge               |
|  |  | BIT (Hons) in Networking and Information Technology Security                         | Bridge               |
| 7  | Game Development                                       | BIT (Hons) in Game Development and Entrepreneurship                                  | Bridge               |
| <b>Centre for Food (N=1)</b>   |  |  |                      |
| 8  | Hospitality Management – Hotel, Restaurant and Tourism | BCom (Hons)  | Direct Entry         |
| <b>School of Health and Community Services (N=4)</b>                     |  |  |                      |
| 9  | Practical Nursing                                      | BAHSc (Hons)   | Bridge               |
|  |  | BSc (Hons) in Nursing  | Bridge               |
| 10   | Dental Hygiene   | BAHSc (Hons)   | Bridge               |
| 11   | Fitness and Health Promotion                           | Bachelor of Health Science (Hons) – Kinesiology specialization (Health and Wellness) | Direct Entry         |
| 12   | Child and Youth Worker                                 | BA (Hons) in Criminology and Justice   | Bridge               |
| <b>School of Interdisciplinary Studies and Employment Services (N=1)</b> |  |  |                      |
| 13   | General Arts and Science                               | BA (Hons) in Criminology and Justice   | Direct Entry         |
|  |  | BA (Hons) in Forensic Psychology   | Direct Entry         |
|  |  | BA (Hons) in Legal Studies   | Direct Entry         |
|  |  | BA (Hons) in Public Policy and Community Development                                 | Direct Entry         |



**Section 3: Articulation Agreements**

| Durham Program  | UOIT Program                                    | Type of Entry  |                      |
|---|---|--|----------------------|
| <b>School of Business, IT and Management (N=12)</b>       |   |  |                      |
| 14  | Business – Accounting                           | BCom (Hons)  | Bridge/ Direct entry |
| 15  | Business – Human Resources                      | BCom (Hons)  | Bridge/ Direct entry |
| 16  | Business – Marketing                            | BCom (Hons)  | Bridge/ Direct entry |
| 17  | Business – Operations Management                | BCom (Hons)  | Bridge/ Direct entry |
| 18  | Business Administration – Accounting            | BCom (Hons), Accounting major  | Direct Entry         |
| 19  | Business Administration – Human Resources       | BCom (Hons), Organizational Behaviour and Human Resources Management major | Direct Entry         |
| 20  | Business Administration – Marketing             | BCom (Hons), Marketing major   | Direct Entry         |
| 21  | Business Administration – Operations Management | BCom (Hons)  | Direct Entry         |
| 22  | Computer Programmer                             | BIT (Hons) in Game Development and Entrepreneurship                        | Bridge               |
|   |   | BIT (Hons) in Networking and Information Technology Security               | Bridge               |
| 23  | Computer Programmer Analyst                     | BIT (Hons) in Game Development and Entrepreneurship                        | Bridge               |
|   |   | BIT (Hons) in Networking and Information Technology Security               | Bridge               |
| 24  | Computer Systems Technician                     | BIT (Hons) in Game Development and Entrepreneurship                        | Bridge               |
| 25  | Computer Systems Technology                     | BIT (Hons) in Game Development and Entrepreneurship                        | Bridge               |
|   |   | BIT (Hons) in Networking and Information Technology Security               | Direct Entry         |
| <b>School of Science and Engineering Technology (N=7)</b> |   |  |                      |
| 26  | Biomedical Engineering Technology               | BAHSc (Hons)   | Bridge               |
| 27  | Biotechnology – Advanced                        | BSc (Hons) in Biological Science   | Bridge               |
| 28  | Chemical Engineering Technology                 | BAHSc (Hons) in Nuclear Power  | Bridge               |
| 29  | Electro-Mechanical Engineering Technology       | BAHSc (Hons) in Nuclear Power  | Bridge               |
| 30  | Electronics Engineering Technology              | BAHSc (Hons) in Nuclear Power  | Bridge               |
| 31  | Environmental Technology                        | BAHSc (Hons) in Nuclear Power  | Bridge               |
| 32  | Mechanical Engineering Technology               | BAHSc (Hons) in Nuclear Power  | Bridge               |

**Articulation Agreements**

| Durham Program  | UOIT Program                           | Type of Entry   |
|---|--|---|
| <b>School of Justice and Emergency Services (N=6)</b> |  |   |
| 33  | Paramedic                              | BAHSc (Hons)<br>Bridge  |
| 34  | Law Clerk – Advanced                   | BA (Hons) in Legal Studies<br>Bridge  |
| 35  | Paralegal                              | BA (Hons) in Legal Studies<br>Bridge  |
| 36  | Police Foundations                     | BA (Hons) in Criminology and Justice<br>Bridge  |
| 37  | Protection, Security and Investigation | BA (Hons) in Criminology and Justice<br>Bridge  |
| 38  | Youth Corrections and Interventions    | BA (Hons) in Criminology and Justice specialization in Youth, Crime and Justice<br>Bridge |
| <b>General Pathway (N=2)</b>                          |  |   |
| 39  | Any three-year diploma                 | BA (Hons) in Adult Education and Digital Technology<br>Direct Entry                       |
| 40  | Any two- or three-year diploma         | BCom (Hons)<br>Bridge   |

**2014-15; Additional Articulations and/or changes since the agreement was signed in 2012-13**

| Durham Program  | UOIT Program                  | Type of Entry  |
|---|-------------------------------|--|
| <b>School of Business, IT and Management (N=5)</b>    |                               |  |
| 41  | Computer Systems Technician   | BIT (Hons) in Networking and Information Technology Security<br>Bridge |
| 42  | Computer Systems Technology   | BIT (Hons) in Networking and Information Technology Security<br>Bridge |
| 43  | Accounting – Business         | BCom (Hons)<br>Direct Entry  |
| 44  | Human Resources - Business    | BCom (Hons)<br>Direct Entry  |
| 45  | Computer Programmer Analyst   | BSc (Hons) in Computing Science<br>Direct Entry                        |
| <b>School of Health and Community Services (N= 3)</b> |                               |  |
| 46  | Social Service Worker         | BA (Hons) in Community Development and Policy Studies<br>Bridge        |
|   |                               | BA (Hons) in Forensic Psychology<br>Bridge                             |
| 47  | Developmental Services Worker | BA (Hons) in Community Development and Policy Studies<br>Bridge        |
| 48  | Child and Youth Worker        | BA (Hons) in Community Development and Policy Studies<br>Bridge        |
|   |                               | BA (Hons) in Forensic Psychology<br>Bridge                             |

**2014-15; Additional Articulations and/or changes since the agreement was signed in 2012-13**

|   | <b>Durham Program</b>                  | <b>UOIT Program</b>   | <b>Type of Entry</b> |
|---|--|---|----------------------|
| <b>School of Justice and Emergency Services (N=3)</b>     |  |   |                      |
| <b>49</b>   | Paralegal                              | BA (Hons) in Community Development and Policy Studies           | Bridge               |
| <b>50</b>   | Protection, Security and Investigation | BA (Hons) in Forensic Psychology                                | Bridge               |
|   |  | BA (Hons) in Community Development and Policy Studies           | Bridge               |
| <b>51</b>   | Police Foundations                     | BA (Hons) in Community Development and Policy Studies           | Bridge               |
|   |  | BA (Hons) in Forensic Psychology                                | Bridge               |
| <b>School of Science and Engineering Technology (N=3)</b> |  |   |                      |
| <b>52</b>   | Biotechnology – Advanced               | BSc (Hons) in Biological Science                                | Direct Entry         |
|   |  | Bachelor of Health Science (Hons) in Medical laboratory Science | Bridge               |
| <b>53</b>   | Environmental Technology               | BA (Hons) in Community Development and Policy Studies           | Bridge               |

**Endnotes**

- 1 Of the students that have a previous post-secondary enrolment, most are likely to have had this experience at an Ontario University or Ontario College of Applied Arts and Technology; however, because applicants manually enter their information into the Ontario College Application Service/ Ontario University Application Centre, a valid institution might be omitted as a result of an inaccurate entry by the student.
  
- 2 International students are not included in any student enrolment total for Durham College because they typically apply to the institutions directly. International students are included in the UOIT data as they do apply through the Ontario University Application Centre (OUAC).

## 2015 Conference of Ontario University Board Members

November 6-7, 2015  
Location in downtown Toronto TBD

### Save the Date

The Council of Chairs of Ontario Universities (CCOU) presents the 2015 Conference of Ontario University Board Members on November 6 and 7, 2015 in downtown Toronto.

**About:** This conference will cover a number of interesting topics related to current university governance and sector-wide trends. The event will have excellent speakers and resources, including senior leaders in the university sector and others with expertise on the issues and forces that impact universities. You also will have the opportunity to mingle and network with other board members and other invitees.

**Who is invited:** The conference is intended for all Board members of the governing bodies (Board of Governors, Board of Trustees, or Governing Council) of Ontario universities. Also invited are all university/board secretaries, board chairs, vice-chairs, immediate past-chairs, and university presidents.

**Coordinated by:** The conference is organized by the Council of Chairs of Ontario Universities (CCOU), an affiliate of the Council of Ontario Universities (COU). CCOU members are the chairs, vice-chairs, and immediate past-chairs of the 20 provincially assisted universities in Ontario, and the Royal Military College (RMC). A Steering Committee consisting of the CCOU members and university/board secretaries listed below will shape the program, with support from COU staff.

Dave Lazzarato, Chair, McMaster; CCOU Chair  
Marianne Berube, incoming Chair, Nipissing  
Barb Palk, Chair, Queen's  
John Suk, Chair, Brock  
Maureen Armstrong, University Secretary and General Counsel, York  
Genevieve Gauthier, Assistant University Secretary, Guelph  
Renée Wintermute, University Secretary, Windsor

**Cost:** The event is offered at no charge to all confirmed registrants. Attendees are responsible for their own accommodation and travel expenses, through their university.

**Logistics:** The conference will begin at approximately 1:00 pm on Friday, November 6, and conclude at approximately 1:00 pm on Saturday, November 7. There will be a reception and dinner on the evening of Friday, November 6. Additional details about the location, schedule, registration process, and accommodation will be provided over the summer months.

**For more information:** Please contact Barb Hauser ([bhauser@cou.on.ca](mailto:bhauser@cou.on.ca)) or Kathryn White ([kwhite@cou.on.ca](mailto:kwhite@cou.on.ca)).