

**PUBLIC SESSION AGENDA
Wednesday, December 7, 2016
3:20 p.m. to 5:30 p.m.**

Place: 55 Bond St., DTB 524

**Dial-in Phone Number: 1-877-385-4099 (toll free in Canada & U.S.)
Participant Access Code: 1028954#**

AGENDA

No.		Topic	Lead	Allocated Time	Suggested End Time
1		Call to Order	Chair	1	
2		Agenda (M)	Chair	1	
3		Conflict of Interest Declaration	Chair	3	
4		Approval of Minutes of the Meeting of October 14, 2016* (M)	Chair	5	
5		Community Reports/Presentations (if required)	UOIT Community Members	10	3:40 p.m.
6		Chair's Remarks	Chair	5	3:45 p.m.
7		President's Report	T. McTiernan	5	3:50 p.m.
8		Academic Council Report* (U)	T. McTiernan	5	3:55 p.m.
9		Co-Populous Report	D. Allingham	5	4:00 p.m.
		Committee Reports			
10		Audit & Finance Committee	M. Goacher		
	10.1	Second Quarter Report* (U)	M. Goacher	5	4:05 p.m.
	10.2	SIRC Building Construction Project (U)(P)	C. Elliott	10	4:15 p.m.
	10.3	Budget Assumptions, Targets & Outcomes* (U)(P)	C. Elliott/ D. Saucier	15	4:30 p.m.
11		Investment Committee			
	11.1	Second Quarter Investment Review (U)	N. Allen	5	4:35 p.m.
12		Governance Nominations & Human Resources Committee	K. Brearley	5	4:40 p.m.
	12.1	Policy		20	
		(a) Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence* (M)(P)	D. Saucier/ M. Bowman		

		(b) Policy Against Violence, Harassment & Discrimination in the Workplace and Procedures to Prevent & Address Violence, Harassment & Discrimination in the Workplace* (M)(P)	C. Foy		5:00 p.m.
13		Strategy & Planning Committee	V. Wafer	5	5:05 p.m.
	13.1	Governors' Pathways Award Recipients	V. Wafer	10	5:15 p.m.
14		Consent Agenda: (M)	Chair	5	5:20 p.m.
	14.1	Approval of DCPD Statement of Investment Policies and Procedures*			
	14.2	Approval of Policy on Naming of Physical University Assets*			
	14.3	Approval of Minutes of the Audit & Finance Committee Meeting of October 5, 2016*			
	14.4	Approval of Minutes of the Governance, Nominations & Human Resource Committee Meeting of September 29, 2016*			
	14.5	Approval of Minutes of the Investment Committee Meeting of August 10, 2016*			
	14.6	Approval of Minutes of the Strategy & Planning Committee Meeting of September 22, 2016*			
15		Other Business		3	
16		Termination of Public Session (M)	Chair	2	5:25 p.m.
		P - Presentation			
		M - Motion			
		U - Update			
		D - Discussion			
		* Documents attached			

Becky Dinwoodie, Secretary

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



**BOARD OF GOVERNORS' 98th REGULAR MEETING
PUBLIC SESSION**

**Friday, October 14, 2016
3:00 p.m. – 6:00 p.m.
Place: 55 Bond St., DTB 524**

GOVERNORS IN ATTENDANCE:

Adele Imrie, Board Chair
Miles Goacher, Vice-Chair and Chair of Audit & Finance Committee
Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee
Doug Allingham
Jeremy Bradbury
Andrew Elrick
Jay Lefton
Tim McTiernan, President (*ex-officio*)
Glenna Raymond
Ololade Sanusi
Bonnie Schmidt
Mary Simpson
Mike Snow
Mary Steele
Tyler Turecki
Shirley Van Nuland
Valarie Wafer, Chair of Strategy & Planning Committee

VIA TELECONFERENCE:

John McKinley, Vice-Chair

REGRETS:

Nigel Allen, Chair of Investment Committee
Dan Borowec
Don Duval
John Speers
Noreen Taylor, Chancellor (*ex-officio*)

BOARD SECRETARY:

Becky Dinwoodie, *Assistant University Secretary*

UOIT STAFF:

Cally Ashby, *Senior Project Manager*
Craig Elliott, *Chief Financial Officer*

Cheryl Foy, *University Secretary & General Counsel*
Andrea Kelly, *Assistant to the Secretary*
Brad MacIsaac, *Assistant Vice-President, Planning and Analysis, and Registrar*
Michael Owen, *Vice-President, Research, Innovation & International*
Deborah Saucier, *Provost and Vice-President, Academic*

GUESTS:

Mariam Abonokerah, *UOIT Student*
Rabia Ameree, *UOIT Student*
Mike Eklund, *UOITFA*
Jordan Etherington, *UOIT Student*
Joanne Evans, *UOIT Staff*
Christine McLaughlin, *UOITFA*
Ali Naqvi, *UOIT Student*
Umamal Rashid, *UOIT Student*
Kelcieya Ratnavajah, *UOIT Student*
Reina Rexhmataj, *UOIT Student*
Sara Ventura, *UOIT Student*

1. Call to Order

The Chair called the meeting to order at 3:26 p.m.

2. Agenda

Upon a motion duly made by S. Van Nuland and seconded by V. Wafer, the Agenda was approved as presented.

3. Conflict of Interest Declaration

None.

4. Moment of Silence for Richard Marceau

The Chair sadly informed the Board of the recent passing of Richard Marceau, the University's former Provost. She shared that she had the pleasure of working with him and emphasized that he was instrumental to the development of University.

T. McTiernan spoke about R. Marceau and a moment of silence was observed in his honour.

5. Chair's Remarks

The Chair noted that the University is off to an exciting start to the year. The enrolment numbers are strong and the government announced the approval of the SIF funding for UOIT, which will be used towards completion of the SIRC Building.

The 2016 start-up activities were a success. The University had increased participation at the 2-day opening ceremonies. She confirmed that the President continued the tradition of donning each Faculty's t-shirt at the same time.

The Chair acknowledged the Windfields Farm event and thanked the students who participated. The exhibits were interesting and informative. The event provided a wonderful opportunity for the Board to interact with students.

The Chair welcomed the guests to the meeting. She confirmed the importance of stakeholder input, which is of great value during the Board's deliberations. She invited the guests to introduce themselves, as well as the Board and staff members.

6. Introduction of New Board Members

The Chair introduced O. Sanusi and T. Turecki, the newly elected student governors. She welcomed T. Turecki back to the Board as he also served as an elected governor during the 2014-2015 term. She recognized the importance of hearing the student perspective and thanked them for committing their time to the institution.

7. Approval of Minutes of the Meeting of June 29, 2016

Upon a motion duly made by J. Bradbury and seconded by M. Steele, the Minutes were approved as presented.

8. Community Reports/Presentations

8.1 Policy Against Violence, Sexual Violence, Harassment and Discrimination

The Chair introduced the student speakers. She clarified that due to the withdrawal of a number of speakers, each speaker would be allotted 4 minutes to speak. R. Rexhmataj was introduced as the first speaker. R. Rexhmataj expressed concern about the consultation process. She shared that the timing of the consultation was perceived as an intentional attempt to unilaterally implement a policy. She also referenced a report published by the faculty from Carleton. She suggested that a sexual violence working group be created. She communicated the desire for a fair, transparent and cooperative consultation process. She confirmed that the students are willing to collaborate.

C. Foy advised that the senior leadership team recommended to the Board that the policy be tabled for consideration until December. The policy team is sympathetic to the fact that the students have

not yet seen the supporting procedures and will conduct further consultation prior to the Board's consideration.

Mariam Abonokerah was the second speaker. She encouraged meaningful consultation. She also noted that the consultations took place during the summer when fewer people were around to participate. She discussed her concern that student feedback on the policy was dismissed and the follow-up process was disorganized. She suggested that further student/faculty/expert consultation is required.

Sara Ventura was introduced as the next speaker. She thanked the Board for allocating her time to speak at the meeting. She expressed her appreciation for the Board tabling the policy until the next meeting. She advised that she spoke to the Minister Responsible for Women's Issues and suggested that the policy being presented to the Board was not in compliance with the legislation. She added that sexual violence warrants its own policy. The perception is that the University is not prioritizing survivors. She also recommended further consultation with students, community organizations and experts in the field.

Jordan Etherington was the final speaker. He commented that the policy does not take into account that the University has 2 campuses, which are very different. He used the hypothetical situation of a sexual assault occurring while a student is walking between classes at the downtown campus and noting the difficulty in jurisdiction. He recommended reviewing the Durham College policy against sexual violence.

The Chair thanked the students for their participation in the governance process and advised that the Board will take their comments into consideration when discussing the policy later in the meeting.

9. President's Report

9.1 Ontario Universities' Fair (OUF) Video

The President introduced the "10 With Ken: OUF 2016" video and explained how it captures the energy, enthusiasm, and hope offered by post-secondary institutions. The President commended the UOIT faculty, staff, and students for their participation at OUF.

10. Academic Council Report

The President delivered the Academic Council Report to the Board. He acknowledged the membership of the Committees of Academic Council, which shows the range of faculty who participate in academic governance. He also highlighted the Council's recommendation of the policy against violence for approval, which as mentioned earlier, will be tabled until the next Board meeting and work will continue through ongoing consultation.

The Chair added that she attended the reception following Academic Council Orientation and that it was an excellent opportunity for the Board to engage with Council members.

11. Start-Up Update

B. Maclsaac delivered a presentation entitled “UOIT Enrolment”. He reported that the University is on track for meeting most of its enrolment targets. The PhD intake numbers are a bit behind and he reviewed several of the factors that may be contributing to that. He also reviewed the number of applications and confirmations. Although the number of applications has declined a bit, there are more students accepting our offers. He acknowledged the student ambassadors for doing a great job. B. Maclsaac ended with a “Fun with Facts” quiz and provided small prizes for those with the correct answers.

Committee Reports

12. Audit & Finance Committee

12.1 First Quarter Report

M. Goacher provided the Board with the Audit and Finance Committee’s first quarter report. Revenue is up 5.6% overall year over year and expenses are relatively flat. He reported on the new metrics that the Ministry has asked institutions to report on. He noted the interest burden of the debenture.

Things are on track for the SIRC building. UOIT’s contribution will be reduced to \$20.3M as a result of the recently announced SIF funding. He also provided an update on the moving ground plane.

M. Goacher discussed the long term forecast, which anticipates a shortfall in 2018. He confirmed that the Banner payroll system has been implemented and provided an update on the Concur expense system implementation. He ended by congratulating the senior leadership team on all the work they have done.

12.2 SIRC Building Construction Project

C. Elliott introduced C. Ashby to present an update on the SIRC Building construction. C. Ashby provided an overview of the progress made on the project, as well as the risks and risk mitigation measures.

C. Elliott discussed the progress of the third and fourth floors of SIRC. The goal is to have the third and fourth floors completed by mid-November 2017. He also reviewed the design consultation process. He confirmed that UOIT’s contribution will be reduced to \$20.3M because of the federal SIF funding.

C. Foy read the motion to the Board for approval.

WHEREAS the Board of Governors approved the award of the design and build of a new four floor building (SIRC Building) to EllisDon Corporation and also approved the completion of the preliminary design phase at its meeting held on March 9, 2016, with the understanding that it would have the ability to review a business case prior to making a decision to approve the construction of the SIRC Building;

WHEREAS the Board of Governors approved the completion and submission of an application for funding from the Strategic Investment Fund (SIF) in support of the SIRC Building, at its meeting held on April 20, 2016;

WHEREAS at its meeting held on June 29, 2016, upon the recommendations of the Board's Strategy & Planning and Audit & Finance Committees, the Board of Governors approved the construction and fit-out of the new four-floor SIRC Building described in the Business Case Model at a total cost not to exceed twenty-six million, three hundred thousand dollars, (CAD\$26,300,000) for the first phase (construction and fit-out of the first two floors), and not to exceed a further seven million dollars (CAD\$7,000,000.00), for the SIF application (fit-out of the remaining two floors);

WHEREAS the Board of Governors also approved the completion of an agreement ("Agreement") with EllisDon Corporation to build the new four-floor SIRC Building, including the fit-out of the first two of the four floors, at its meeting on June 29, 2016;

WHEREAS the Agreement was finalized and signed on July 5, 2016 and effective June 30, 2016;

WHEREAS the SIF application was successful and UOIT entered into an Ontario Transfer Payment Agreement with the Ministry of Advanced Education and Skills Development on September 16, 2016 and effective May 9, 2016;

WHEREAS the amount of the SIF funding will be sufficient to allow UOIT to proceed with the fit-out of the remaining two floors of the SIRC Building;

WHEREAS the Board of Governors received and considered presentations providing a legal briefing and status update on the SIRC building at its meeting held on October 14, 2016 ("Presentations");

NOW THEREFORE, having received approval of the SIF application for sufficient funding to proceed with the fit-out of the 3rd and 4th floors of the SIRC building, upon a motion duly made by M. Goacher and seconded by D. Allingham, the UOIT Board of Governors approved:

1. The negotiation and completion of a Change Order with EllisDon Corporation to design and complete the remaining two floors of the SIRC building within the cost limits described above (CAD\$7,000,000), such Change Order to be finalized in accordance with the terms and conditions described in the Presentations.

The President and/or Chief Financial Officer is/are hereby authorized and directed for and in the name of the Corporation to execute and deliver (under the corporate seal or otherwise) all such other documents and do all such other acts as may be necessary or desirable to give effect to this resolution.

12.3 Compliance

C. Foy provided the Board with a compliance update. She confirmed that the compliance focus has been established by the Board. She discussed the current status of the compliance plan. She described the process of collecting compliance information through the risk register development process completed last year.

C. Foy informed the Board of the development of the Office of the University Secretary's website and the goal of the website going live by the end of the year. She also provided a summary of FIPPA and Records Management compliance activities. She provided an update on the progress of the contracts database.

The Meeting adjourned for a short break at 4:40 p.m.

The Meeting reconvened at 4:46 p.m.

13. Governance Nominations & Human Resources Committee (GNHR)

K. Brearley delivered the GNHR report. The Committee's work plan is very full and the Committee has already jumped in. An item of priority is the development of an executive compensation plan, which the Committee began discussing at the first meeting. The development of the plan is a standing agenda item for this year.

The Committee also discussed the importance of attendance by Board members and she advised that GNHR will be monitoring governors' attendance this year. She emphasized the importance of attendance for engagement and progressing work. She noted that there is nothing wrong with saying you are too busy and referred to L. Swami who resigned due to the change in her time commitments.

K. Brearley confirmed that leadership and succession planning will also be among the Committee's priorities. She advised that there is a tremendous amount of support provided by senior management and support staff for the committee Chairs.

The Chair echoed K. Brearley's remarks - attendance and engagement are essential. Most of the Board's work is done at the committee level and it is important to have everyone share their views and to have engaged discussions. She also commented on the amount of support provided by the senior leadership team, as well as from fellow Board members. She encouraged everyone to consider taking on a leadership role as these roles are essential to the success of the institution.

13.1 Fair Processes Policy (formerly Administrative Fairness Policy)

The Chair invited C. Foy to speak to the policies being reviewed by the Board. C. Foy clarified that there are 2 policies being presented and that the Fair Processes Policy (FPP) is coming forward for approval. She confirmed that the Policy Against Violence, Sexual Violence, Harassment and Discrimination (PAV) is being tabled and it will be brought back to the Board at the December meeting. It will be helpful to have the Board and community consider the PAV together with the underlying procedures. The policy team wants to ensure that the policy and procedures are understood by the community.

C. Foy reviewed the Board's role in policy approval. She confirmed that GNHR reviewed and recommended both policies being presented.

C. Foy provided an overview of the FPP and explained the rationale for it. The FPP functions to establish the authority and responsibility for decision-making. It also encourages and supports informal resolution wherever possible. C. Foy clarified that the FPP applies only to quasi-judicial decision-making and not day-to-day decisions.

Pursuant to the recommendations of the Governance, Nominations and Human Resources Committee and Academic Council, upon a motion duly made by A. Imrie and seconded by S. Van Nuland, the Board of Governors approved the Fair Processes Policy, as presented.

13.2 Policy Against Violence, Sexual Violence, Harassment and Discrimination

C. Foy presented the underlying philosophy for addressing sexual violence, violence, harassment and discrimination in one policy. The PAV strives to achieve a balance between supporting individuals who have experienced violence and recognizing the support of respondents in order to ensure a robust disciplinary process. She emphasized that the policy is values based. She emphasized that there will be procedures underlying the policy to ensure the proper supports are in place for individuals.

The PAV is holistic and does not differentiate between employees and students. The intent is to communicate that violence is not tolerated towards anyone.

C. Foy provided a summary of the supports available for those who experience sexual violence and/or other forms of violence, harassment, or discrimination. She also gave an overview of the consultation history. There is ongoing engagement with students.

C. Foy identified areas of concern raised by the community. There has been much discussion as to how to accomplish a survivor-centric approach while balancing it with procedural fairness. She also explained the "real and substantial connection" element of the policy. C. Foy responded to questions from the Board.

An overview of the procedures under development was presented. Many of the procedures are in draft form already.

The University has an obligation to have the policy and procedures in place by the end of December. C. Foy outlined the next steps in the approval path.

There was a discussion regarding how it is determined whether it is a criminal act. A governor also noted that the “real and substantial connection” aspect of the policy aligns with UOIT’s values. C. Foy responded to questions regarding when a matter should become a criminal investigation, as well as the limits to UOIT’s ability to help. The Board also discussed the jurisdictional issues of the policy and using the “real and substantial connection” in a values-based approach.

A question was asked about the consultation process going forward. C. Foy responded that several town halls will be held and the policy and procedures will be posted online to obtain feedback. Further, there will be continued engagement with the SA and putting them in touch with club presidents. It was suggested that it might be helpful to coordinate the procedures with DC to ensure consistent processes are available.

C. Foy confirmed that students will be involved in the drafting process. She ended by highlighting the guiding principles of the policy.

The Chair thanked M. Bowman for his participation, as well as the guests for voicing their concerns.

14. Strategy & Planning Committee (S&P)

V. Wafer delivered the S&P report. The Committee has an ambitious and busy work plan. She noted that it is a pivotal time in UOIT’s history. She also discussed the success of the recent Windfields Farm “Field of Dreams” event. The event was a wonderful opportunity to thank the University’s donors.

14.1 Strategic Plan

D. Saucier started with a brief history of the development of the Strategic Plan. She advised that she will be working with the academic units to develop strategic goals and identify what they want to achieve in the next 3 years.

(A. Elrick left the meeting at 5:31 p.m.)

The recommendation was to extend the Strategic Plan to 2022. D. Saucier reviewed the vision, mission, and values of the University. She discussed the comments provided by the Board at the Board Retreat in April. She highlighted the importance of creating a culture of retention for everyone – students, staff and faculty.

She provided a summary of the feedback provided at the retreat on the proposed plan:

- Prepare our graduates for the evolving workplace – explained meaning of “access”
- Build capacity through research and community engagement
- Be a destination for work & study

She introduced the revised Strategic Plan for 2017-2022:

- 1. Challenge** - produce and inspire future leaders who have real-world skillsets
- 2. Innovate** - create new approaches, partnerships, and solutions to improve society
- 3. Connect** – build lasting relationships to make UOIT a remarkable place for work and study

Learning, research and people are included under each of the pillars.

She emphasized the importance of having a strategic plan because it allows an organization to recognize what it’s “not”. The Board expressed agreement that the words are loftier. V. Wafer thanked the team for their work. It’s an outward facing document that helps define UOIT and will help the Advancement team. The Plan provides direction to the University in advancing its vision, mission, values.

D. Saucier acknowledged the contributions of the Board to the document, as well. She responded to questions from the Board. Each unit will develop a plan to measure their success.

That pursuant to the recommendation of the Strategy and Planning Committee, upon a motion duly made by V. Wafer and seconded by K. Brearley, the Board of Governors approved the 2017-2022 Strategic Plan, as presented.

14.2 Board of Governors Pathways Award

J. McKinley introduced V. Wafer to present to the Board regarding the Board of Governors’ Pathways Award Program. V. Wafer advised that it is the Governors’ opportunity to “walk the walk” with respect to Advancement. She provided a summary of the awards given in 2015-2016. The goal is to have an award for each one of the 20 pathways. The awards make a real difference in students’ lives. Students will be speaking about their experience at the next meeting. The goal is to raise \$20,000. She informed the Board that the packages handed out at the meeting include information regarding the stewardship. There is a UOIT self-addressed envelope in the package. V. Wafer encouraged the Governors to contribute. The Chair supported the initiative and commented that she would love to see 100% participation by the Board. J. McKinley added that the awards are important to our students and that he has received thanks from many students over the years.

15. Consent Agenda:

Upon a motion duly made by A. Imrie and seconded by T. McTiernan, the Board approved the following items on the Consent Agenda:

15.1 Minutes of the Audit & Finance Committee Meeting of June 20, 2016

15.2 Minutes of the Investment Committee Meeting of May 11, 2016

Upon a motion duly made, the Board moved into an in camera session at 5:54 p.m.

16. Termination of Public Session

Upon a motion duly made, the Meeting ended at 6:35 p.m.



ACADEMIC COUNCIL

REPORT TO BOARD OF GOVERNORS AT ITS MEETING OF DECEMBER 7, 2016

Academic Council Committee Appointments

In order to fill an additional vacant position for 2016-2017, Academic Council approved the appointment John Friedlan, Associate Professor, Faculty of Business and Information Technology to the Curriculum and Program Review Committee for a term of three years ending on June 30, 2019.

Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence

For the first time, Academic Council members received a request for a student delegation to speak at the meeting regarding the policy. Although there is no provision in the Academic Council Handbook for Council to receive delegations, the request was granted by the Academic Council Executive Committee. Two students presented their views on the policy to Council for consideration. Miles Bowman presented the standalone version of the policy and procedures to Academic Council and sought Council's recommendation of the document for approval by the Board. After an engaged discussion regarding the updated policy document, Council voted to recommend the policy document for approval by the Board of Governors, subject to additional changes in response to ongoing consultation.

Policy Against Violence, Harassment and Discrimination in the Workplace

Cheryl Foy presented the Policy Against Violence, Harassment and Discrimination in the Workplace and related procedures to Academic Council to obtain feedback on the draft document. Due to a full agenda and a short time to review the changes made to the policy as a result of ongoing consultation, a special consultation meeting for Academic Council was arranged for November 29. At the meeting on November 29, seven members attended to ask questions and provide their views on the draft documents.

Committee to Recommend a President – Faculty Representatives

In accordance with the terms of reference for the Committee to Recommend a President (CRP), Academic Council nominated 3 tenured, tenure-track or teaching faculty members from at least 3 different faculties and selected faculty representatives through an expression of interest process.

There was an open call for nominations that closed on November 14. A list of the faculty nominees and their statements was distributed to Academic Council for review prior to the meeting on November 15. The election was conducted by a series of 3 ballots to ensure representation from 3 different faculties.

The names of the faculty nominees selected by Council and appointed to the CRP by the Executive Committee of the Board of Governors are:

- Mikael Eklund
- Glenn Harvel
- Hannah Scott

CURRICULUM AND PROGRAM REVIEW COMMITTEE (CPRC)

Academic Council approved the following proposals recommended by CPRC:

(a) Clarification to the Program Change Policy - specifically, that the exclusions of D and F grades will occur for 'degree' changes only, rather than major or specialization changes

In February 2016 Academic Council approved the Revision to the Program Change Process. The intent of the change was to treat all internal program transfers the same as transfer students from other institutions, meaning that no D or F grade would be counted in the CGPA calculation. After two academic terms it was noted that the process was not working as intended and there were many exceptions to the rule. By limiting the process to degree changes only, we will solve the majority of the special case situations. As per current practice, all attempts will continue to remain on the official transcript.

(b) Bachelor of Health Science in Kinesiology - Major Program Modification - creation of a Kinesiology major without specialization

The Kinesiology Major did not exist as a program without specializations. Some students were asking for more flexibility within their program so that they could pursue minors in other faculties such as Science, Business and Information Technology, and Social Science and Humanities. The creation of a “generalist” program, in addition to the three current specializations, would address the issues. The program will retain the “core” group of kinesiology courses currently common to the specializations, so that all Kinesiology programs continue to meet accreditation requirements, while omitting courses that are specialization-

specific to create room for general electives and student selected upper year kinesiology courses.

GRADUATE STUDIES COMMITTEE (GSC)

Academic Council approved the following changes to the Graduate Academic Calendar recommended by GSC:

(a) Supporting document requirements

Some programs may accept professional letters of reference. The changes to the Supporting Documents section of the Graduate Academic Calendar provide more clarity for applicants and referees around this.

(b) Academic standing

The changes ensure clarity by listing the circumstances under which a student may be dismissed.

(c) Academic misconduct

The changes ensure consistency between the Graduate Academic Calendar and the Undergraduate Academic Calendar regulations. The addition of “violation of health and safety regulations in a laboratory or other setting” is particularly important for graduate students who spend a significant amount of time in labs over the course of their academic careers.

Conferral of Degrees for Summer 2016

Academic Council authorized the granting of degrees to those students who fulfilled all degree requirements at the end of the Summer term 2016 and who were recommended for graduation by their Faculty.



Financial Update
Report to the Audit and Finance Committee
For 6 months ending September 30, 2016

November 16, 2016

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Consolidated Financial Statements of

**UNIVERSITY OF ONTARIO
INSTITUTE OF TECHNOLOGY**

For 6 months ending September 30, 2016

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Financial Position
As at September 30, 2016

	<u>Sep 30, 2016</u>	<u>Sep 30, 2015</u>	<u>YOY Variance</u>	<u>Mar 31, 2016</u> N1.
ASSETS				
CURRENT				
Cash and cash equivalents	\$ 49,695,640	\$ 31,091,606	\$ 18,604,034	\$ 32,308,994
Short-Term Investments	1,148,400	10,000,000	(8,851,600)	10,170,000
Grant receivable	8,643,123	7,595,227	1,047,896	5,312,979
Other accounts receivable	42,183,190	39,396,987	2,786,203	7,327,038
Bookstore Inventories	827,007	1,035,314	(208,308)	154,262
Prepaid expenses and deposits	1,835,412	1,754,920	80,492	1,701,678
	<u>104,332,772</u>	<u>90,874,054</u>	<u>13,458,718</u>	<u>56,974,951</u>
INVESTMENTS	30,345,495	33,322,253	(2,976,758)	30,967,585
CAPITAL ASSETS	394,876,324	407,468,873	(12,592,549)	397,511,225
TOTAL ASSETS	<u>\$ 529,554,592</u>	<u>\$ 531,665,180</u>	<u>\$ (2,110,589)</u>	<u>\$ 485,453,761</u>
LIABILITIES				
CURRENT AND LONG-TERM LIABILITIES				
Accounts payable and accrued liabilities	25,685,148	23,390,783	2,294,364	23,940,540
Deferred revenue	71,052,687	68,682,574	2,370,113	20,358,279
	<u>96,737,835</u>	<u>92,073,357</u>	<u>4,664,478</u>	<u>44,298,818</u>
LONG TERM DEBT	9,233,533	14,545,436	(5,311,903)	11,867,701
OBLIGATIONS UNDER CAPITAL LEASE	38,900,333	39,136,246	(235,913)	39,090,326
DEBENTURE DEBT	178,096,238	183,049,200	(4,952,962)	180,611,425
DEFERRED CAPITAL CONTRIBUTIONS	160,924,316	166,175,966	(5,251,651)	162,285,684
	<u>483,892,255</u>	<u>494,980,208</u>	<u>(11,087,953)</u>	<u>438,153,954</u>
Net Assets				
NET ASSETS, excluding current year surplus / (deficit)	29,128,143	25,820,610	3,307,534	25,820,613
ENDOWMENTS	18,736,532	17,178,133	1,558,400	18,171,660
CURRENT YEAR SURPLUS / (DEFICIT)	(2,202,340)	(6,313,770)	4,111,430	3,307,534
	<u>45,662,336</u>	<u>36,684,973</u>	<u>8,977,363</u>	<u>47,299,807</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 529,554,592</u>	<u>\$ 531,665,180</u>	<u>\$ (2,110,589)</u>	<u>\$ 485,453,761</u>

N1. Balances as at year-end March 31, 2016 disclosed to explain the changes in the Consolidated Cash Flow Statement as at September 30, 2016.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Operations
For 6 months ending September 30, 2016

	<u>Sep 30, 2016</u>	<u>Sep 30, 2015</u>	<u>YOY Variance</u>
REVENUE			
Grants - operating & research	\$ 33,753,371	\$ 33,689,311	\$ 64,060
Grant - debenture	6,750,000	6,750,000	-
Donations - operating & research	396,897	529,634	(132,737)
Student tuition fees	24,519,248	22,396,052	2,123,196
Student ancillary fees	9,803,039	9,849,494	(46,454)
Revenue from purchased services	2,294,965	2,031,712	263,254
Other income	4,400,464	3,958,086	442,378
Amortization of deferred capital contributions	4,311,368	4,403,612	(92,244)
Interest revenue	215,507	55,821	159,686
Unrealized gain/(loss) on investments	1,422,043	(862,513)	2,284,556
	87,866,902	82,801,207	5,065,695
EXPENSES			
Salaries and benefits	47,264,856	45,910,049	1,354,806
Supplies and expenses	15,548,922	15,354,520	194,402
Purchased Services	6,795,079	6,296,713	498,366
Professional fees	305,998	563,284	(257,286)
Interest expense	7,484,486	7,714,010	(229,524)
Amortization of capital assets	12,344,743	13,071,864	(727,121)
Loss on disposal of assets	325,158	204,537	120,621
	90,069,242	89,114,977	954,265
Excess of expenses over revenues	\$ (2,202,340)	\$ (6,313,770)	\$ 4,111,430

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Cash Flows
As at September 30, 2016

	<u>Sep 30, 2016</u>	<u>Sep 30, 2015</u>
NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES		
OPERATING		
Excess of expenses over revenues	(2,202,340)	(6,313,770)
Items not affecting cash:		
Amortization of capital assets	12,344,743	13,071,864
Amortization of deferred capital contributions	(4,311,368)	(4,403,612)
Gain on disposal of assets	325,158	204,537
Unrealized gain on investments	1,422,043	862,513
	<u>7,578,236</u>	<u>3,421,533</u>
Working Capital		
Grant and other accounts receivable	(38,186,296)	(33,220,649)
Prepaid expenses and deposits	(133,734)	(164,557)
Inventories	(672,745)	(744,830)
Accounts payable and accrued liabilities	1,744,608	(1,872,335)
Deferred revenue	50,694,409	47,905,155
	<u>21,024,477</u>	<u>15,324,317</u>
INVESTING		
Purchase of capital assets	(10,035,002)	(5,958,787)
Investments	8,221,646	2,249,920
Endowment contributions	564,873	126,794
	<u>(1,248,483)</u>	<u>(3,582,073)</u>
FINANCING		
Repayment of long term debt	(5,149,354)	(4,838,988)
Repayment of obligations under capital leases	(189,993)	18,175
Deferred capital contributions	2,950,000	486,734
	<u>(2,389,348)</u>	<u>(4,334,080)</u>
NET CASH INFLOW	17,386,646	7,408,164
CASH BALANCE, BEGINNING OF YEAR	32,308,994	23,683,442
CASH BALANCE, END OF PERIOD	\$ 49,695,640	\$ 31,091,606

CONSOLIDATED STATEMENT OF FINANCIAL POSITION

Assets

Cash and short-term investments increased \$9.7m over last year and is primarily due to under-spending in the last budget year 2015 – 16.

Grant receivable balance of \$8.6m includes \$4.8m DC / UOIT Collaborative Nursing (CN) grant funded by the Ministry on a slip-year basis (PY bal. \$2.7m will be received in CY, and CY bal. \$2.1m received in next FY), \$2.9m of new “SIF” grant receivable for the construction of the SIRC building, and \$0.9m of external research grants, all of which are current.

Grant receivable YOY increase of \$1.0m includes \$2.9m of new “SIF” grant, offset by decrease \$1.2m of the Georgian / UOIT CN grant which is now funded and received in-year (v/s slip-year funding in the PY), and \$0.7m decrease in research grants

Other accounts receivable includes student and trade receivables. The YOY increase of \$2.8m includes \$2.4m increase in student A/R due to a YOY increase of 229 FTE, and other variances none exceeding \$0.5m. Balance of \$42.2m includes \$39.7m of student A/R (of which \$1.2m relates to spring 2016 and prior, \$7.4m relates to o/s receivables from fall 2016 and \$31.1m relates to the future winter 2017 semester, for which final payment is due Jan 20, 2017).

Investment balance of \$30.3m is comprised of \$22.3m endowed funds held at PH&N, \$8.0m from MoF held in trust at BNY. The YOY decrease of \$3.0m includes a decrease of \$6.0m investment at BNY (\$4.9m was used to repay the MoF loan in the last year, and \$1.1m transferred to RBC Wealth Management currently disclosed in short-term investments), offset by an increase of \$3.0m in endowed funds (\$0.8m reclassified from internally restricted to endowed net assets in Q3 2015 relating to 2006 and 2007 graduate student fellowships, \$0.5m new donations, \$1.1m capital gains & investment income, \$1.0m in unrealised gains due to improving conditions in the equities market, offset by \$0.4m bursary disbursements).

Capital assets decreased \$12.6m and include net new additions of \$7.1m offset by total accumulated depreciation of \$19.7m in the last 12 months. Capital additions comprise of: construction-in-progress (CIP) for new SIRC building \$2.3m, ACE rolling road \$2.6m, other CIP \$0.2m, laptops \$3.4m (offset by disposal \$6.0m), computer and other major equipment \$3.5m and building renovations \$1.1m.

Liabilities

Accounts payable and accrued liabilities increased \$2.3m due to timing of payment for third party vendors, including a payable of \$850k at the end of the quarter to Ellis Don for the construction of SIRC.

CONSOLIDATED STATEMENT OF FINANCIAL POSITION (Contd.)

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

Deferred revenue increase of \$2.4m over last year includes \$3.2m of deferred tuition due to YOY increase in enrolment of 229 FTE, offset by decrease of \$1.3m in deferred TELE revenues of which \$1.0m relates to the drawdown of deferred revenues at last year-end and \$0.3m relates to the CY net decrease in revenue attributable to the roll-out of the “BYOD” (Bring Your Own Device) program in the Faculty of Social Science and Humanities, and variances in other deferred revenues, none exceeding \$0.5m.

Long term debt balance of \$9.2m includes \$8.1m of MoF loan. The YOY decrease of \$5.3m includes \$4.9m relating to the MoF loan repayment which is fully repayable in Oct 2017.

Debenture debt decrease of \$5.0m relates to the principal repayment and resulting draw-down of the debt in the last year. This debt will be fully paid in October 2034.

Deferred capital contributions decrease of \$5.3m includes \$3.4m grants received / receivable for capital projects, of which \$2.9m relates to the new SIF grant, offset by total amortization expense in the last 12 months of \$8.7m.

CONSOLIDATED STATEMENT OF OPERATIONS

Revenue

Total Revenue increased \$5.1m (6.1%) over last year, and includes \$2.1m increase in student tuition fees attributable to the YOY increase of 229 FTE, coupled with an average 3% increase in tuition fees, and \$2.3m increase in unrealized gain on investment due to strong equity market conditions in the current year.

Expenses

Total Expenses increased \$1.0m year-over-year and includes \$1.4m increase in salaries and benefits, of which \$1.2m relates to the annual salary increase (\$0.9m for academic positions and \$0.3m for administrative staff), and \$0.2m pertains to net new hires in the last 12 months.

II. FINANCIAL METRICS

The Ministry has adopted 5 financial metrics to assist with assessing university financial health and sustainability. These metrics will be included in the 2015 – 16 SMA (Strategic Mandate Agreement) report-back cycle to the Ministry in November 2016, at which time universities will be provided with the opportunity to comment on their respective 5 financial metrics.

The table below shows the financial metrics for the University for the last 2 fiscal years 2015 and 2016 with a 2017 projection. Also included are the average comparator and average sector metrics for fiscal year 2015 (latest published data). The average comparator includes the data for what is classified as “small” universities based on student FTE (‘Full-time equivalents’). The small sector universities comprise of 7 universities: Algoma, Lakehead, Laurentian, Nipissing, OCADU, Trent and UOIT.

Financial Metrics	Actual 2015	Actual 2016	Forecast 2017	Average comparator 2015	Average sector 2015
Net Income/Loss Ratio (1)	4.5%	1.7%	1.6%	-0.1%	6.2%
Net Operating Revenues Ratio (2)	11.1%	10.9%	10.8%	4.2%	9.7%
Primary Reserve Ratio (days) (3)	14	27	24	32	134
Interest Burden Ratio (4)	10.0%	9.4%	9.0%	3.9%	1.8%
(b) IBR w MTCU funding	2.4%	2.2%	2.1%	n/a	
Viability Ratio (5)	3.1%	6.4%	5.2%	14.3%	121.8%

Financial Metrics Analysis

1. Net Income / Loss ratio - tracks the trend in UOIT’s net earnings.

UOIT continues to show a positive net earnings ratio and is favourable vis-à-vis the average comparator due to its surplus of revenues over expenses, mainly attributable to slight growth - stable enrolment coupled with savings as a result of open faculty positions and unused capital reserves that are subsequently internally-restricted at the end of the fiscal year.

II. FINANCIAL METRICS (Contd.)

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

UOIT continues to experience positive operating and working capital and this is reflected in a stable net operating revenues ratio. UOIT's operating and working capital in fiscal year 2015 is \$21.4m versus an average of \$2.7m for the comparator universities.

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

This ratio has improved over the last 2 fiscal years as Management continues to set aside and internally restrict operating surplus for future use (\$6.0m was internally restricted in FY 2015 and \$6.5m in FY 2016). The primary reserve ratio is forecast to decrease in 2016 – 17 as internally-restricted capital reserves are consumed to fund for the SIRC building.

4. Interest Burden ratio ("IBR") – indicates UOIT debt affordability and the cost of servicing debt

UOIT's interest burden is improving as it continues to pay back its long-term debt obligations without entering into any new debt. The cost of servicing UOIT's debt is above the comparator due to its much higher debt obligations (\$51.9m average versus \$231.0m UOIT).

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

5. Viability ratio - determines UOIT's financial health, as it indicates the funds on hand to settle its long-term obligations.

This ratio has improved as UOIT continues to show operating surplus coupled with reduced debt. UOIT is below the average comparator due to its much higher debt position (comparator average debt is \$51.9m versus \$231m for UOIT).

II. FINANCIAL METRICS (Contd.)

(1) Net Income/Loss Ratio

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

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

(4) Interest Burden Ratio

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

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

(2) Net Operating Revenues Ratio

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

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

(5) Viability Ratio

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

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

(3) Primary Reserve Ratio

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

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

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

**III. 2016 - 17 Operating Forecast Summary (in '000 s)
For the year ending March 31, 2017**

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

April 1, 2016 - March 31, 2017					
Annual Budget, excluding Carryforward	Carryforward/ Internal Restrictions	Total Annual Budget	Y/E Forecast	Fav. (Unfav.) Variance of Forecast to Budget \$ / %	
Revenue					
Grants		76,297	77,752	1,455	2%
Tuition		74,266	74,148	(118)	0%
Student Ancillary		13,630	13,489	(141)	-1%
Other		15,298	16,506	1,208	8%
Total Revenue		\$ 179,491	\$ 181,895	\$ 2,404	1%
Expenditures					
Academic/ACRU	1,065	66,034	65,767	1,332	2%
Academic Support	-	33,299	33,972	(674)	-2%
Administrative	-	31,703	27,152	4,551	14%
Total UOIT Pure	\$ 1,065	\$ 131,035	\$ 126,891	\$ 5,210	4%
Purchased Services		14,032	14,044	(12)	0%
Total Ancillary/Commercial		9,632	9,554	78	1%
Debenture Interest Expense		11,391	11,242	149	1%
Total Operating Expenses		\$ 166,090	\$ 161,730	\$ 5,425	3%
Net Contribution from Operations		\$ 13,400	\$ 20,164	\$ 7,829	63%
Capital Expenses funded from Operations		7,225	10,003	(2,778)	-38%
Principal Repayments - debenture/leases		5,110	5,070	40	1%
Net Cash Inflow from Operations		\$ 1,065	\$ 5,091	\$ 5,091	0%
Other Disclosure: SIRC Building (not funded from Operating Budget)					
Capital Grant		-	5,280	5,280	0%
Internally-Restricted Reserves		-	9,798	9,798	0%
Capital Expenses		-	15,078	(15,078)	0%

Reconciliation to Y/E forecast GAAP FS:

	\$
Net forecast contribution from Operations	20,164
Items not budgeted:	
Externally funded research donations and revenues	9,950
Externally funded research expenses	(9,450)
Non-cash transactions:	
Amortization of capital assets	(24,681)
Amortization of deferred capital contributions	8,591
Unrealized loss on investments	1,385
Capital Grants accounted as Deferred Capital Contributions on the balance sheet	(3,148)
Excess revenues over expenses - as per Y/E forecast GAAP FS	\$ 2,811

III. 2016-17 Operating Forecast Analysis

The latest projection of the 2016-17 operating budget, after capital expenses, shows an operating surplus of \$5.1m by the end of the fiscal year (Note that the operating budget does not include the impact of the construction of the new SIRC Building. This is disclosed separately under “Other Disclosure”).

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

Enrolment

FTE's	2016 -17 Approved Budget	2016-17 Projection	Variance to Approved Budget
Undergraduate			
Domestic	7,876	7,894	18
International	431	444	13
Graduate			
Domestic	388	376	-12
International	137	133	-4
Total FTE's	8,832	8,847	15

Our enrolment projection data indicates that we are net 15 FTE more than the approved budget of 8,832 FTE.

Revenues

Grants are favourable to budget \$1.5m and includes \$2.2m grant receivable in Nov 2016 from the Ministry of Economic Development and Growth (MEDG) for the purchase of the Moving Ground Plane (see “Capital” under “Expenditures” section below), offset by a decrease of \$0.7m relating to the teacher’s enrolment grant which was erroneously included twice in the budget.

Note: the total grant from MEDG is \$2.5m and includes a 10% holdback which will be released in March 2018 upon receipt of the required project reporting by the Province.

Other Revenue forecast, including purchased services, is favourable \$1.2m and includes \$0.5m of application and other student-related fees that were conservatively budgeted due to the shortfall of 245 FTE in the prior fiscal year 2015-16, \$0.3m unbudgeted revenues from the sale of laptops to students as a result of “BYOD” and the sale of fitness equipment, \$0.2m higher than expected revenues from summer camps, and other immaterial variances.

III. 2016-17 Operating Forecast Analysis (Contd.)

Expenditures

The Academic/ACRU units are showing a positive variance of \$1.3m mostly relating to labour savings from open faculty positions. The most significant variance is a \$0.5m upside in the Faculty of Engineering and Applied Science. Other faculties are showing variances to budget, none of which exceeds \$0.5m.

The Academic Support units are unfavourable to budget of \$0.7m, and includes \$0.3m attributable to higher than expected disbursement of scholarships due to more first year and continuing students meeting the criteria for these scholarships, and other immaterial variances.

The Administrative units are showing a favourable variance to budget of \$4.5m and includes \$3.9m release of operational contingency reserves which will be taken into income at year-end and internally restricted to invest in future projects to improve the University's facilities.

Capital Expenses funded from Operations are unfavourable \$2.8m to budget and includes \$2.6m disbursed in Sep 2016 to Old Dominion University for the purchase of the Moving Ground Plane (rolling road). The cost of the rolling road will be funded by a \$2.5m grant from MEDG (see "Grants" under "Revenues" section above).

Other Disclosure: SIRC Building

The construction of SIRC is not funded from the 2016 – 17 approved budget and hence disclosed separately. The total estimated cost of the project for the current year is \$15.1m, of which \$5.3m is funded through the "SIF" grant and \$9.8m through internally-restricted reserves.

Operating Forecast Surplus (or Deficit)

Current projections continue to show a surplus budget of \$5.1m after capital expenses. The most significant risk to this projection is the final impact of the actual enrolment as per the Feb 1 count to the Ministry, and the uncertainty around the Moving Ground Plane project.

There are a number of accounting adjustments that are not included in the Board approved operating budget (such as the externally-funded research grants and amortization of capital assets and capital grants received). These accounting transactions impact the operating surplus (or deficit) on a GAAP (generally accepted accounting principles) basis. Based on current projection and after adjusting for the items mentioned above, the projected surplus is \$2.8m on a GAAP basis.

IV. CAPITAL

This section provides an overview of Board approved capital projects over \$1.0m.

A. Software and Informatics Research Centre (“SIRC”)

In March 2016, UOIT’s Board of Governors approved the award of the design and build of a new building (“SIRC”) to EllisDon Corporation, and also approved the completion of the preliminary design phase.

On June 29, 2016, the Board approved the construction and fit-out of the new 4-floor “SIRC” building at a total cost not to exceed \$26.3m for the first phase (construction and fit-out of the first 2 floors), and not to exceed a further \$7.0m for the fit-out of the remaining 2 floors, the latter being subject to approval of UOIT’s application for “SIF” (Strategic Investment Fund) funding.

On September 14, 2016, UOIT signed an agreement with the Province which was made effective as of May 9, 2016. This Ontario Transfer Payment Agreement confirmed a “SIF” funding of \$13,001,890 (\$11,801,890 Federal Funds and \$1,200,000 Ontario Funds). The Ministry formally announced this infrastructure funding for UOIT on October 13, 2016.

The target date for completion of the 4 floors fully fitted-out is Nov 2017, with occupancy in Jan 2018.

IV. CAPITAL (contd.)

SIRC Project Costs and Funding Requirements

	Actual to Sep 2016	Actual Oct 2016	Forecast					Forecast			Total Project Forecast	Original Budget
			Nov 2016	Dec 2016	Jan 2017	Feb 2017	Mar 2017	Total FY 2017	Total FY 2018	Total FY 2019		
	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s	\$'000s
Project Cost												
Design Build Preliminary Phase	\$ 310							\$ 310			\$ 310	\$ 310
Parking	383	476	33	111				\$ 1,003	17		\$ 1,020	1,034
Guaranteed Maximum Price (Note 1)	1,368	749	1,433	1,675	1,830	2,571	2,545	\$ 12,171	13,790	525	\$ 26,486	26,486
Owner's Cost (Note 2)	245	15	73	73	137	137	124	\$ 804	3,415		\$ 4,219	4,219
Contingency (Note 3)			211	211	211	104	53	\$ 790	475		\$ 1,265	1,251
Total Project Cost	2,306	1,240	1,750	2,070	2,178	2,812	2,722	15,078	17,697	525	33,300	33,300
Funding												
"SIF" Funding (Note 4)		1,475		1,475		2,330		5,280	6,245	1,477	\$ 13,002	13,002
Internally-restricted reserves	2,306	(235)	1,750	595	2,178	482	2,722	9,798	11,452	(952)	20,298	20,298
Net	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Note 1: Guaranteed Maximum Price (“GMP”) is the sum of the price of the services and the price of the work that are guaranteed by the Construction Manager (Ellis Don) not to be exceeded.

Note 2: Owner’s costs are not included in the GMP where the Owner has engaged a 3rd party, e.g. Project Manager, Payment Certifier, etc.

Note 3: Contingency are funds set aside to cover for unforeseen events during the construction phase.

Note 4: Total “SIF” Funding amounts to \$13.0m, of which \$11.8m is from Federal and \$1.2m from the Province. The \$1.2m from the Province is part and parcel of the annual Facilities Renewal Program (“FRP”) grant that the University currently receives from the Ministry for deferred maintenance costs

IV. CAPITAL (Contd.)

SIRC Progress Update

See separate presentation

B. Moving Ground Plane (“MGP”)

In June 2016, UOIT’s Board of Governors approved the completion of an agreement of purchase and sale with the Old Dominion University (“ODU”) for the acquisition of a moving ground plane (“MGP”) at a cost of no more than \$2.5m in accordance with the terms of a grant of \$2.5m funded by the Ministry of Economic Development and Growth (“MEDG”).

UOIT has also submitted an application to FedDev for additional funding of approximately \$10.2m and is working with industry partners (e.g. Magna and Multimatic) to complete the funding requirements for the installation and integration of the MGP into the ACE facility. This project does not include the use of the University’s operational funds.

It was anticipated that installation of the MGP at the ACE facility will be completed in late 2017 and become operational as of early 2018.

MGP Progress Update

- The University has paid ODU USD 2.0m in settlement for the equipment in September 2016, and is awaiting receipt of CAD 2.25m (CAD 2.5m less 10% holdback) from the Ministry of Economic Development and Growth. This is expected to be received in November 2016.
- All components of the rolling road have been shipped and are now at the Multimatic location.
- The FedDev application for additional funding of \$10.2m was declined. Executive Management is currently conducting active discussion with our industry partners.
- The agreements with Magna and Multimatic are currently being reviewed by UOIT’s legal team.

V. CASH FLOW

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

University cash balances are cyclical in nature with higher balances in September & October and January & February due to tuition fee collection from the fall and winter semester registration, and lower balances during the late spring and early summer months.

In September 2014, and as approved by the Board, the University invested \$16.0m surplus operating cash in short-term GIC's at BMO Nestbitt Burns, of which \$6.0m has a renewable maturity date of 30 days and \$10.0m has a maturity date of 1 year.

In April 2015, the University transferred \$1.1m from BNY to RBC Wealth Management and these were invested in annual GIC's.

The University has the following line of credit (LOC) facility agreements:

- A revolving operating LOC of up to \$17.0m, bearing interest at prime plus 0.25% with a Canadian chartered bank.
- A revolving operating LOC up to \$5.0m, bearing interest at prime plus 0.25% with IBM.

Cash Flow Update

- UOIT has not utilized its available line of credit at the end of the reporting quarter.
- To provide flexibility for major capital project funding, and in Oct 2016, Management has re-invested the \$16.0m GIC's at BMO Nesbitt Burns, plus all interest earned to date, in 30-day cashable GIC's.

In addition, \$1.1m at RBC was re-invested into GIC's with a one-year maturity date on June 12, 2017.

- **Operating cash balance** including short-term investments is forecast to be at \$30.8m at the end of the fiscal year.
- **Externally and internally restricted cash balances** (including, Research, Advancement, Campus Childcare, Regent Theater, ACE) is forecast to be at \$11.7m at the end of the fiscal year.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Cash Flow Forecast Summary for year ending March 31, 2017

		Actual	Actual	Forecast					Total Forecast	
		Apr - Jun 2016	Jul - Sep 2016	Oct 2016	Nov 2016	Dec 2016	Jan 2017	Feb 2017	Mar 2017	FY 2016-17
		\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s
Operating Beginning Cash Balance	A	\$ 14,918	\$ 3,234	\$ 23,209	\$ 20,246	\$ 16,028	\$ 11,599	\$ 24,366	\$ 21,017	\$ 14,918
Total Operating Inflows	B	35,107	62,752	19,642	8,585	9,819	28,351	8,594	9,502	182,353
Total Operating Outflows	C	(46,381)	(41,692)	(22,806)	(11,989)	(13,964)	(13,453)	(12,096)	(14,221)	(176,603)
Net Operating Cash Flows	D=B+C	(11,274)	21,060	(3,165)	(3,404)	(4,145)	14,898	(3,502)	(4,718)	5,750
Total Operating Cash Available	E=A+D	3,644	24,294	20,044	16,842	11,883	26,497	20,863	16,299	20,668
SIRC Building Outflows	F	(410)	(1,085)	(1,273)	(814)	(1,760)	(2,131)	(2,176)	(2,799)	(12,448)
SIRC Building Inflows	G			1,475		1,475		2,330		5,280
Net SIRC Building	H=F+G	(410)	(1,085)	202	(814)	(285)	(2,131)	154	(2,799)	(7,168)
Operating Ending Cash Balance after SIRC	I=E+H	3,234	23,209	20,246	16,028	11,599	24,366	21,017	13,500	13,500 N1
Total Internally and Externally Restricted Cash	J	10,722	10,528	10,572	11,365	11,639	11,549	12,058	11,744	11,744 N2
Total Consolidated Cash Position	K=I+J	\$ 13,957	\$ 33,737	\$ 30,818	\$ 27,393	\$ 23,238	\$ 35,914	\$ 33,076	\$ 25,244	\$ 25,244

Reconciliation of bank balances to G/L balance as at Sep 30, 2016

Balance as per bank statements	\$ 33,737
Add: Outstanding Deposits	144
Less: Outstanding Cheques	(375)
Bank Balance as per G/L	33,506
Add: Short-term investments in GIC's	17,338
Total Cash and ST investments, as per Balance Sheet	\$ 50,844

Total Cash Forecast as at Mar 31, 2017

N1 Total Operating Cash after SIRC	\$ 13,500
Add: Short-term investments in GIC's	17,338
Total Operating Cash and ST investments	\$ 30,838
N2 Total Internally and Externally Restricted Cash	\$ 11,744

VI. LONG-TERM FORECAST

In April 2016, the Board approved a balanced budget for 2016 – 17. At that time, a long-term forecast was also presented for the budget years 2016 – 17 to 2020 – 2021.

In August 2016, the long-term plan was re-cast to include revised enrolment targets as a result of the upcoming construction of the new SIRC building and revised labor costs relating to the new job evaluation system (JES).

The long-term forecast will be updated for Quarter 3 reporting to reflect final winter Day 10 official enrollment count and 5-year forecast input from budget holders.

Assumptions on Aug 2016 forecast model

- Enrolment targets revised to take into account occupancy of SIRC in Jan 2018
- Grant funding as per the current funding formula (funding formula currently under review by the Ministry).
- Tuition YOY average increase at the current approved rate of 3.0% (new tuition framework currently under review by the Ministry).
- Retention rate held at current rate of 80.3%
- Salary increases as per the new JES and as per faculty collective agreements
- New hires to maintain current student to faculty ratio
- TELE transformation to a full “BYOD” model by FY 2019-2020
- Operational reserves \$2.0m + planned capital reserves \$2.5m for a total of \$4.5m
- 3% YOY increase in utilities
- 2% YOY increase in purchased services cost from Durham College

Balancing the budget over the long-term

Currently, the long-term forecast is showing a deficit in Year 2 through to Year 5. Over the last 6 months, Management has developed a plan to address this shortfall. This plan, which will be implemented in the budget year 2017 / 18, will balance UOIT’s budget over the next 5 years.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Long-Term Forecast Summary as at August 31, 2016

FORECAST					
	FY 2017 - 18	FY 2018 - 19	FY 2019 - 20	FY 2020 - 21	FY 2021 - 22
	\$'000 s	\$'000 s	\$'000 s	\$'000 s	\$'000 s
Revenues					
Grants	76,587	77,569	77,656	77,898	78,732
Tuition	77,298	79,695	82,131	84,950	86,731
Ancillary, including TELE	11,872	11,853	10,779	10,816	11,089
Other	14,589	14,799	14,935	15,305	15,313
Total	\$ 180,347	\$ 183,915	\$ 185,501	\$ 188,969	\$ 191,865
Expenses					
Labour	95,990	99,161	101,661	104,210	106,302
OPEX	74,395	75,874	76,824	78,081	79,367
Capital	5,283	5,402	5,109	4,434	4,434
Contingency	4,500	4,500	4,500	4,500	4,500
Total	\$ 180,168	\$ 184,936	\$ 188,094	\$ 191,226	\$ 194,603
Revenues less Expenses	\$ 178	\$ (1,021)	\$ (2,592)	\$ (2,256)	\$ (2,738)
FTE	8,814	8,859	8,875	8,930	8,954



Board of Governors Budget Update

Presented By Craig Elliott, CFO and Deborah Saucier, Provost
December 7, 2016



Agenda

- 1. 2016-17 Budget**
- 2. Five Year Forecast**
- 3. 2017-18 Budget**
- 4. Discussion Topics - PACIP**
- 5. Budget Schedule and Next Steps**
- 6. Questions/Comments**

2016-17 Budget



- **Day 10 headcount numbers are 9,384 Undergrads and 753 Grads, both up from last year. These figures still need be converted to FTE for comparison to budget. However, based on prior years calculations, we should be on target to meet budget enrolment numbers.**
- **As a result, the budget working group will not be asking for any adjustments to the existing budget for 2016/17**

Five Year Forecast



Financials								UOIT 5 yr Operational Forecast- 1 Building - Proposed 2.5% Cut on all expenses, except non-eligible							
Revenues		14/15 Act	15/16 Base Budget	16/17 Fcst	17/18 Fcst	18/19 Fcst	19/20 Fcst	20/21 Fcst							
	Basic Operating Grant	50,121,000	50,681,197	50,988,961	51,226,598	51,009,530	52,468,684	54,266,725							
	CN Grant	4,725,000	4,424,123	4,450,498	4,449,242	4,520,045	4,587,102	4,671,306							
	Debenture Grant	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000							
	Other Grants	7,397,000	7,279,958	7,279,958	7,279,958	7,279,958	7,279,958	7,279,958							
	Donations	913,000	1,276,372	1,305,000	1,305,000	1,305,000	1,305,000	1,305,000							
	Tuition	68,744,000	72,909,059	76,001,061	78,449,541	81,088,150	86,105,827	91,678,145							
	Ancillary Fees	15,535,000	15,672,953	15,462,366	9,759,510	9,752,698	9,944,697	10,189,807							
	Other Revenue	10,285,000	10,090,719	10,090,719	10,090,719	10,090,719	10,090,719	10,090,719							
	DC	3,799,000	4,231,100	4,231,100	4,231,100	4,231,100	4,231,100	4,231,100							
	Total Revenues	175,019,000	180,065,480	183,309,663	180,291,667	182,777,199	189,513,086	197,212,759							
	Increase %	7.9%	7.4%	1.8%	-1.6%	1.4%	3.7%	4.1%							
Expenses															
	FT Labour	54,498,155	64,201,637	65,828,278	67,063,606	68,329,817	69,627,683	70,957,996							
	PT Labour	15,956,038	13,194,611	13,194,611	13,194,611	13,194,611	13,194,611	13,194,611							
	Benefits	11,608,962	13,115,975	13,365,746	13,594,282	13,828,531	14,068,636	14,314,744							
	OPEX (Other than listed below)	49,134,131	51,653,960	52,687,039	53,740,780	54,815,596	56,161,907	57,285,146							
	Contracts (Consulting & Other)	4,017,871	3,751,773	3,751,773	3,751,773	3,751,773	3,751,773	3,751,773							
	Utilities	1,584,299	1,898,460	1,936,429	1,975,158	2,014,661	2,304,954	2,351,053							
	Leases	1,223,865	1,877,905	2,052,650	2,093,703	2,135,577	2,178,289	2,221,855							
	RAM Unallocated			2,899,596	4,510,512	6,005,919	9,932,251	14,404,989							
	CarryForwards	-	621,343												
	Contingency Reserve		4,505,609	4,500,000	4,500,000	4,500,000	4,500,000	4,500,000							
	OPEX DC	16,453,000	15,420,018	15,728,418	15,728,418	15,728,418	15,728,418	15,728,418							
	Total Expenses	154,580,569	170,241,291	175,944,541	180,152,843	184,304,902	191,448,523	198,710,584							
	Increase %	6.0%	10.1%	1.7%	2.4%	2.3%	3.9%	3.8%							
	Capital	6,342,388	2,964,727	3,000,000	3,000,000	3,000,000	3,000,000	3,000,000							
	Capital Tele	5,481,925	5,545,036	5,545,036	584,515	584,515	584,515	584,515							
	Capital DC	1,193,049	1,598,500	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000							
	Total Expenditures	167,597,931	180,349,554	185,689,577	184,937,358	189,089,417	196,233,038	203,495,099							
	Increase %	3.3%	7.6%	3.0%	-0.4%	2.2%	3.8%	3.7%							
	Revenues less Expenses	7,421,069	(284,074)	(2,379,914)	(4,645,691)	(6,312,218)	(6,719,952)	(6,282,341)							
	Proposed 2.5% Cut			(3,333,619)	(5,751,624)	(5,751,624)	(5,751,624)	(5,751,624)							
	Revenues less Expenses After Cuts			953,706	1,105,933	(560,594)	(968,328)	(530,717)							
							Average over 5 years	0							

Key Points From Five Year Forecast

- **The forecast illustrated a structural budget deficit with increasing losses each year starting in 2016/17. Total loss over 5 years was \$26M**
- **UOIT adopted a plan to address this shortfall with budget reductions of 2.5% in 2016/17 and 2017/18. The initial 2.5% cut was implemented with the current years budget – and focused mainly on OPEX reductions.**
- **An additional 2.5% cut was planned for 2017/18, and this would balance our budget over the next 5 years.**

UOIT Forecast

- **The 5 year forecast has now been updated at August, 2016 to incorporate current data, and revised projections for revenues and expenses. Some of the more significant changes revolve around:**
 - Enrolment forecasts based on Day10 actuals for 2015/16
 - TTT/TF new contracts
 - Implementation of JES
 - 2.5% Budget reductions implemented in 2016/17
 - Reduced contingency in Working Capital and UPF Reserves
- **We extended our analysis out 10 years to understand the longer term financial implications of our fiscal structure**

Financials UOIT 10 yr Operational Forecast- Aug 2016 Base Line - New Building

Revenues	17/18 Fcst	18/19 Fcst	19/20 Fcst	20/21 Fcst	21/22 Fcst	2022-23	2023-24	2024-25	2025-26	2026-27
Basic Operating Grant	55,219,932	55,995,048	55,875,731	56,117,762	56,951,729	58,121,947	59,728,931	61,552,169	63,600,422	65,058,972
Debenture Grant	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000
Other Grants	7,867,420	8,073,819	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180
Donations	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100
Tuition	77,298,372	79,694,947	82,131,487	84,949,968	86,731,133	88,513,245	90,960,503	93,737,091	96,856,351	99,077,562
Ancillary Fees	11,871,979	11,852,566	10,778,802	10,816,423	11,089,179	11,215,036	11,394,376	11,597,352	11,633,748	11,633,748
Other Revenue	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858
DC	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976
Total Revenues	180,334,637	183,693,314	185,143,134	188,241,267	191,129,155	194,207,342	198,440,925	203,243,726	208,447,635	212,127,396
Increase %		1.9%	0.8%	1.7%	1.5%	1.6%	2.2%	2.4%	2.6%	1.8%

Expenses	17/18 Fcst	18/19 Fcst	19/20 Fcst	20/21 Fcst	21/22 Fcst	2022-23	2023-24	2024-25	2025-26	2026-27
FT Labour	80,804,830	83,731,132	85,923,233	87,815,861	89,526,872	92,315,394	94,996,985	97,893,259	100,708,028	102,667,987
PT Labour	15,076,984	15,320,723	15,628,453	16,284,819	16,639,916	17,020,388	17,459,362	17,930,008	18,252,618	18,551,739
OPEX	30,472,608	31,071,131	30,854,961	31,166,349	31,499,347	32,067,495	32,600,758	33,083,457	33,422,568	33,748,715
OPEX Ineligible	29,716,892	30,311,230	30,917,454	31,535,804	32,166,520	32,809,850	33,466,047	34,135,368	34,818,075	35,514,437
Contingency Reserve	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000
OPEX DC	15,425,488	15,733,997	16,048,677	16,369,651	16,697,044	17,030,985	17,371,604	17,719,036	18,073,417	18,434,886
Total Expenses	174,996,802	179,668,213	182,872,779	186,672,483	190,029,698	194,744,112	199,394,756	204,261,129	208,774,707	212,417,762
Increase %	40.8%	2.7%	1.8%	2.1%	1.8%	2.5%	2.4%	2.4%	2.2%	1.7%

Capital	2,805,322	3,011,914	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313
Capital Tele	1,262,174	1,173,974	674,828	-	-	-	-	-	-	-
Capital DC	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686
Total Expenditures	180,279,983	185,069,787	187,981,606	191,106,482	194,463,697	199,178,111	203,828,755	208,695,128	213,208,706	216,851,761
Increase %		2.7%	1.6%	1.7%	1.8%	2.4%	2.3%	2.4%	2.2%	1.7%

Revenues less Expenses	54,654	(1,376,473)	(2,838,472)	(2,865,215)	(3,334,542)	(4,970,769)	(5,387,830)	(5,451,402)	(4,761,071)	(4,724,365)
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Key Points From Forecast

- **The reductions we made last year have improved our financial outlook, but we are still faced with an ever increasing budget deficit in future years, given our labour intense cost base**
- **The budget working group has been consulting with the Senior Leadership Team over the summer to develop a Budget Reduction Plan that would address our longer term fiscal issues**

2017-18 Budget



Significant Budget Assumptions

- Enrolment levels as forecasted
- Grant funding from the Province will remain at current level
- Tuition increase of 3% maintained each year
- Compensation increases and other fixed cost estimates as forecast
- New building occupied in 2018/19 funded by Fed gov't and UOIT
- Academic hires funded out of the faculty, and maintain current student/faculty ratios.
- No new non-academic hires.
- Contingency included in the budget:
 - \$2.5M for new building/capital renewal
 - \$1.0M general contingency for operations
 - \$1.0M UPF for strategic initiatives

Key Components of Proposed Budget Reduction Plan

Lower our cost base by \$2.5M in 2017/18

- ATB reduction in discretionary PD and Travel by 30%
- Reduced OPEX eligible expenses, in areas determined by each budget holder
- Strategic labour reductions through attrition, part time, and contract positions
- Reduced contingency

Financials										
UOIT 10 yr Operational Forecast- Aug 2016 Base Line - New Building										
Revenues	17/18 Fcst	18/19 Fcst	19/20 Fcst	20/21 Fcst	21/22 Fcst	2022-23	2023-24	2024-25	2025-26	2026-27
Basic Operating Grant	55,219,932	55,995,048	55,875,731	56,117,762	56,951,729	58,121,947	59,728,931	61,552,169	63,600,422	65,058,972
Debenture Grant	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000	13,500,000
Other Grants	7,867,420	8,073,819	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180	8,280,180
Donations	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100	608,100
Tuition	77,298,372	79,694,947	82,131,487	84,949,968	86,731,133	88,513,245	90,960,503	93,737,091	96,856,351	99,077,562
Ancillary Fees	11,871,979	11,852,566	10,778,802	10,816,423	11,089,179	11,215,036	11,394,376	11,597,352	11,633,748	11,633,748
Other Revenue	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858	10,421,858
DC	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976	3,546,976
Total Revenues	180,334,637	183,693,314	185,143,134	188,241,267	191,129,155	194,207,342	198,440,925	203,243,726	208,447,635	212,127,396
Increase %		1.9%	0.8%	1.7%	1.5%	1.6%	2.2%	2.4%	2.6%	1.8%
Expenses										
FT Labour	80,804,830	83,731,132	85,923,233	87,815,861	89,526,872	92,315,394	94,996,985	97,893,259	100,708,028	102,667,987
PT Labour	15,076,984	15,320,723	15,628,453	16,284,819	16,639,916	17,020,388	17,459,362	17,930,008	18,252,618	18,551,739
OPEX	30,472,608	31,071,131	30,854,961	31,166,349	31,499,347	32,067,495	32,600,758	33,083,457	33,422,568	33,748,715
OPEX Ineligible	29,716,892	30,311,230	30,917,454	31,535,804	32,166,520	32,809,850	33,466,047	34,135,368	34,818,075	35,514,437
Contingency Reserve	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000
OPEX DC	15,425,488	15,733,997	16,048,677	16,369,651	16,697,044	17,030,985	17,371,604	17,719,036	18,073,417	18,434,886
Total Expenses	174,996,802	179,668,213	182,872,779	186,672,483	190,029,698	194,744,112	199,394,756	204,261,129	208,774,707	212,417,762
Increase %	40.8%	2.7%	1.8%	2.1%	1.8%	2.5%	2.4%	2.4%	2.2%	1.7%
Capital	2,805,322	3,011,914	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313	3,218,313
Capital Tele	1,262,174	1,173,974	674,828	-	-	-	-	-	-	-
Capital DC	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686	1,215,686
Total Expenditures	180,279,983	185,069,787	187,981,606	191,106,482	194,463,697	199,178,111	203,828,755	208,695,128	213,208,706	216,851,761
Increase %		2.7%	1.6%	1.7%	1.8%	2.4%	2.3%	2.4%	2.2%	1.7%
Revenues less Expenses	54,654	(1,376,473)	(2,838,472)	(2,865,215)	(3,334,542)	(4,970,769)	(5,387,830)	(5,451,402)	(4,761,071)	(4,724,365)
2.5% cut of eligible expenses	(2,500,000)	(3,000,000)	(3,565,549)	(3,565,549)	(3,565,549)	(3,565,549)	(3,565,549)	(3,565,549)	(3,565,549)	(3,565,549)
Revenues less Expenses After Cuts	2,554,654	1,623,527	727,077	700,334	231,007	(1,405,220)	(1,822,282)	(1,885,853)	(1,195,522)	(1,158,816)

UOIT Vacant Position Summary

Vacant Faculty Positions in Budget

	14/15		15/16					16/17				
	Vacant	Filled	O/S from PY	Attrition	New Ask	Vacant	Filled	O/S from PY	Attrition	New Ask	Vacant	Filled
FESNS	0.5	0.5	-	-	-	-	-	-	2.0	-	2.0	-
FBIT	6.0	3.0	3.0	1.0		4.0	2.0	2.0	6.0	2.0	10.0	9.0
FSSC	4.0	3.0	1.0		1.0	2.0	2.0	-	1.0	-	1.0	-
FOE	1.0	1.0	-			-	-	-	-	-	-	-
FHS	5.0	4.0	1.0	-	3.0	4.0	4.0	-	2.0	1.0	3.0	2.0
FEAS	4.0	1.0	3.0	1.0		4.0	2.0	2.0	0.5	4.5	7.0	2.0
FOS	5.0	5.0	-		1.0	1.0	1.0	-	1.0	1.0	2.0	1.0
Total	25.5	17.5	8.0	2.0	5.0	15.0	11.0	4.0	12.5	8.5	25.0	14.0
	Vacant Fall 13	Filled by Fall 14	Not filled Fall 13 to			Vacant Fall 14	Filled by Fall 15				Vacant Fall 15	Filled by Fall 16

Discussion Points On The Budget PACIP October 11, 2016



Budget Discussion

The proposed Budget Reductions are not all ATB. Do we agree with this methodology?

- Eligible expenses are those that we can manage, such as part-time labour. Ineligible expenses are those that we can not impact/change such as debenture payments.
- Do we let each faculty/dept. determine their own OPEX reductions?

PACIP Feedback:

- ▶ Agreement that we need to be strategic, reductions should NOT be ATB.
- ▶ Like flexibility of each unit determining where OPEX reductions should occur.
- ▶ Suggest that proposed reductions, and their impact on other units they service, be clearly outlined.
- ▶ Asked about exchange impact, and it was indicated that significant exchange variances would be handled through the forecast process.

Conclusion: Agreement on budget methodology

Budget Discussion

Should we continue to plan for future buildings once we fully funded SIRC?

- UOIT faces a critical space issue and can not rely on government assistance to provide additional infrastructure. We have strategic plans that will require funding to execute – currently there is \$26M held in federal treasury for CARIE. UOIT would plan to reserved \$2M per year for the next 10 years. We also put aside \$.5M in reserve for deferred maintenance. This is in addition to the FRP money the Province provides for building maintenance and the funds we allocate as capital in the OCIS budget for new or upgrades of infrastructure.
- If we did reduced the building reserve by 50%, we would need to reduce our cost base by an additional \$1.0M per year.

PACIP Feedback:

- ▶ Agreement that we should continue to put aside strategic funds for infrastructure
- ▶ Comments that we need to address our current space requirements
- ▶ People felt the 10 year forecast was helpful

Conclusion: Continue with strategic reserves

Budget Discussion

Do we have enough contingency and strategic reserve?

- We have very little contingency or strategic funds to operate with over the next 5 years. Should we be more conservative in our approach to have contingency funds for unforeseen events or opportunities?
- The more money we wish to set aside for these purposes, the more we will need to cut in other areas to balance the budget.

PACIP Feedback:

- ▶ Concern was expressed that higher reserves might constrain our investment in people.
- ▶ The risk of an enrolment shortfall was discussed, and factors of increased competition, potential enrolment caps from Province, and existing UOIT enrolment caps in Engineering. Some pathway programs could be in jeopardy with recent provincial decisions on degree granting

Conclusion: Leave level of reserves where they are today

Budget Discussion

What levels of academic, and support staff (non-academic and administrative) can we maintain over the next five years?

- Do we agree that we should focus on our core research & teaching mission by satisfying our academic hiring requirements initially, and then determine what support staff positions we can fund?
- Our support units are under considerable pressure already, and we have no new positions in the forecast for the next five years.
 - We cannot ask support units to do more with less. How can we improve processes and procedures, create efficiencies through system enhancements, and better understanding the scope of work given the constraints for each area.

PACIP Feedback:

- ▶ Concern that being asked to do more, but do not have the resources.
- ▶ Asked how we get everyone to stop those activities that we have agreed we will not do anymore. Need for open dialogue between Academic and Support units around what can, and cant be done. Suggestions about a “red tape” commission

Conclusion: Agree with direction, but recognize support unit concerns

Budget Schedule



UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
 BUDGET AND FORECAST TIMELINES - 2017/18

FY 17 / 18 Budget & 2016/17 Fcst Calendar		
May 2016	SLT reviews and proposes 17/18 Budget reductions	
1-Aug-2016	Preparation of data for FAST Budget (Finance only)	
6-Sep-2016	BWG meet to prepare for all budget holders meeting (PACIP)	
12-Sep-2016		Q2 FAST Forecast open to user community
19-Sep-2016	Provost send RAM allocation templates to faculties and requests LT staffing plan And space template??	
11-Oct-2016	High level presentation of budget assumptions to PACIP	
7-Oct-2016		Q2 Forecast due back to Finance
17-Oct-2016	FAST Budget module open to user community	Q3 FAST Forecast open to user community
17-Oct-2016	FAST Budget module open to user community	Q3 FAST Forecast open to user community
9-Nov-2016	Budget update to Strategy and Planning	
15-Nov-2016	Faculty budget strategic allocation, new hires, salary/merit increases built into FAST budget (Finance only)	
15-Nov-2016	High level presentation of budget assumptions to AC	
16-Nov-2016	High level presentation of budget assumptions to A&F	
30-Nov-2016	2017 / 18 budget completed in FAST Budget	
1-Dec-2016	Budget Paper presentation to AC	
9-Dec-2016		Q3 Forecast completed in FAST forecast
15-Dec-2017	BWG reviews 1st Draft Budget	
2-Jan-2017	BWG presents summary of asks to SLT	
Jan 10 - 11/2017	Finance reviews DC/UIT Shared Service budgets. Joint presentation by UOIT and DC staff responsible for the areas of: IT, Facilities, Student Services, Ancillary, and Purchasing	
Jan 16 - 23/2017	Budget holders make presentations to Deans / VP's	
8-Feb-2017	DC confirm final Shared Service operating costs, and capital requirements	
8-Feb-2017	Budget working group presents high-level revenues and base expenditures SLT / makes budget recommendations	
15-Feb-2017	Finance presents high-level revenues and base expenditures to A&F	
27-Feb-2017	Budget working group presents high-level revenues and base expenditures to AC Exec	
6-Mar-2017	Final budget approved by SLT	
Mar 7 - Mar 31	Finance prepares budget presentation files for A&F/Board	
7-Apr-2017	Finance sends budget package to SLT for review	
12-Apr-2017	Budget Package sent to A&F Committee members	
19-Apr-2017	Presentation of proposed budget to A&F	
3-May-2017	Presentation of proposed budget to Board for approval	
16-May-2017	Presentation of Board approved budget to Academic Council	



Questions/Comments



REPORT to the BOARD of GOVERNORS

Action Required:

Public:
Non-Public:

Discussion
Decision

TO: The Board of Governors
DATE: December 7, 2016
FROM: Deborah Saucier, Provost and VP Academic
SUBJECT: Policy to Prevent and Respond to Sexual Violence for Students

A. Purpose

We are seeking approval by the Board of Governors for the Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence.

B. Background/Context

The passing of the *Sexual Violence and Harassment Action Plan Act (Supporting Survivors and Challenging Sexual Violence and Harassment), 2015* (the “SVHAP Act”), introduced a number of amendments that require universities to review and address their policies and processes for preventing and responding to sexual violence and harassment on their campuses.

The University initially presented a single policy (v1.0) to the University community reinforcing the University’s commitment to all community members to establish an environment free from all forms of violence, sexual violence, harassment and discrimination. Feedback revealed that the best policy approach would be to develop separate and distinct policies to address issues of sexual violence for students. This new approach nevertheless supports the original anti-violence perspective.

Discussion and Rationale

The Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence is enacted through proactive measures and ensure that the University is able to effectively address and respond to reports of sexual violence involving students when they occur.

The Policy will:

- Be structured from a user-based, question-driven perspective, and organized relative to the most likely problems of students needing policy outcomes;
- Support students who experience acts of sexual violence to seek help and advice relating to the processes and outcomes available to them;
- Hold those who commit acts of sexual violence accountable;
- Educate and inform students, as well as other members of the University community, regarding issues of sexual violence involving students;
- Implement oversight to the policy that results in yearly review of its efficacy; and
- Meet the commitments to procedural fairness established under the new Fair Processes Policy.

Consultation and Approval

The draft Policy (v1.0) was posted online on October 24th for broad consultation with the University community, including students, faculty and staff. Four 2-hour town hall sessions were held November 1st-3rd to collect community feedback related to the policy. A special committee of students, faculty and community members met to discuss the policy November 2nd for two hours. Jarred Cacnio was available for one-on-one consultations with students during this time. The collected feedback was used to generate a revised draft v2.0.

The revised draft (v2.0) posted November 8th-15th. The v2.0 draft was circulated for consultation and feedback to Academic Council (for November 15th), the Policy Advisory Committee (for November 17th), and the Health and Safety Committee (for November 18th). The special committee met to provide feedback for two hours on November 8th, and November 16th.

The advice from consultations was incorporated into a final draft (v3.0) circulated to Governance, Nominating and Human Resources Committee of the Board on November 23rd. GNHR recommended v3.0 for the Board of Governors' approval on December 7th, 2016. Should amendments be required, v3.1 would be presented to the Executive Committee of the Board for approval prior to the end of the year.

The Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence (v3) will be effective upon approval by the Board or Board Executive. In addition, the Board has committed to review this policy at its spring, 2017 meeting (March 1st, 2017), allowing the community an additional three-month period within which to provide comments. Should the Board conclude that further amendments are required, they will be made at the Board meeting to be held May 3rd, 2017. The policy will be the subject of an annual review each May.

C. Request

We are requesting the Board's approval of the Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence, as presented.



**POLICY ON SEXUAL VIOLENCE FOR STUDENTS
AND PROCEDURES FOR RESPONDING TO
INCIDENTS OF SEXUAL VIOLENCE**

In an emergency, call for help

<p>In North Campus buildings: Help EMS easily locate you, call x2400 or 905-721-3111</p>	<p>Downtown Campus: Call 9-1-1</p>	<p>Anywhere off campus: Call 9-1-1</p>
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- If you have experienced an incident involving Sexual Violence, UOIT can help you. The best way to receive help is to contact a [Support Worker](#) in the Mental Health Office (905.721.3392 or email studentlifeline@uoit.ca) who can provide you with support and aid in a confidential environment [insert link].
- This policy details UOIT’s intent to prevent and address incidents of Sexual Violence and sets out the procedures that will be followed for reporting, investigating and addressing incidents of Sexual Violence for Students.
- This document uses key terms that are hyperlinked to their definitions found in [Appendix A](#).
- To request an alternative format of this document, [make an AODA request here](#).

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Parent Policy: Anti Violence Policy; Framework Category: Legal, Compliance and Governance;
 Approving Authority: Board of Governors; Policy Owner: Provost and VP Academic;
 Approval Date: Draft; Review Date: TBA

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WHAT ARE UOIT'S COMMITMENTS? – Guiding Principles

1. The University of Ontario Institute of Technology ([UOIT](#)) is committed to maintaining healthy and safe learning, living, social, recreational and working environments. Acts that perpetuate [Sexual Violence](#) including [Sexual Harassment](#) are against UOIT's values [link] and will not be tolerated. Thus, UOIT will:
 - Condemn all acts that perpetuate or reinforce Sexual Violence and hold individuals who perpetrate such acts accountable;
 - Help those who have experienced Sexual Violence by providing resources and aid, regardless of whether or not an Informal or [Formal Report](#) is filed;
 - Help our community to oppose Sexual Violence through preventative educational programming;
 - Continually improve how the university addresses Sexual Violence by examining the efficacy of programming choices, how aid is administered, and how [Students](#) use our services.

2. There are many myths and misconceptions about Sexual Violence (*e.g.*, rape myths) that downplay the seriousness of Sexual Violence and confuse an individual's understanding of [consent](#). These ways of thinking contribute to a social context in which individuals who experience Sexual Violence may blame themselves for what happened, worry that they will not be believed, and make reporting Sexual Violence less likely to happen. These misconceptions contribute to victim-blaming responses that excuse perpetrators for their actions. UOIT strongly opposes this kind of thinking and has developed this policy in support of those who have experienced Sexual Violence and will treat individuals with dignity and respect during [disclosure](#), investigation and institutional response.

3. The University, recognizes that each individual is free to label their experiences using whatever terminology they choose. The label "survivor" may work for some individuals, and may not for others. To that end, this policy refers to individuals based on their interaction with the policy. When dealing with individuals, the university will respect each individual's preferred term.

4. UOIT is aware of and acknowledges the diverse backgrounds and cultures of Students and will consider and take reasonable measures to accommodate needs emerging from this diversity when dealing with individual cases.

5. An Advisory Committee, comprised of Students, [Faculty](#) and [Staff](#), will be established to oversee and review the programming and training choices in consultation with community partners that stand against Sexual Violence by:
 - Advising on training programs for development and delivery to Staff, Faculty, and Students;
 - Consulting on up-to-date information on supports and services, including online content;

- Reviewing instances of Sexual Violence committed against, or perpetrated by, members of UOIT and the help-seeking behaviours related to such incidents;
- Evaluating the efficacy of programming, activities, and help processes related to tracked behaviours and advising on changes, where necessary;
- Overseeing the implementation of a survey of [UOIT Members](#), as required, relating to the effectiveness of Sexual Violence aspects of this policy;
- Drafting an annual report informed by available data related to measures listed above in this section and make recommendations to the Provost or delegate; and
- Preparing a written review to the Office of the Provost detailing recommended changes to this policy and related procedures.

HOW DOES UOIT HELP? – Purpose of this Policy

6. For any [UOIT Student](#) who has experienced [Sexual Violence](#) and for any Student who has perpetrated Sexual Violence, this policy and related procedures detail how UOIT will:
 - Empower Students to make separate choices on whether to disclose within a safe space at the university in order to receive support and whether to officially report that experience to the university in order to pursue a path to justice;
 - Accommodate the needs of Students affected by Sexual Violence,
 - Offer fair paths to justice as alternatives to, and not replacements for, external judicial proceedings;
 - Implement [interim measures](#) to protect Students affected by Sexual Violence, where appropriate.
 - Investigate incidents of Sexual Violence, where requested or where required as listed in section 27 below; and
 - Detail how incidents of Sexual Violence will be addressed.
7. UOIT stands against Sexual Violence through a preventative approach. This approach involves educational programming and training to empower our community and to minimize behaviours that contribute to the perpetuation of Sexual Violence. Key topics to be addressed include, but are not limited to:
 - Abuses of power dynamics and victim blaming;
 - Alcohol and substance consumption;
 - Cultural competency and sources of [discrimination](#);
 - [Consent](#) culture;
 - How sexism, ableism, ageism, and racism intersect with Sexual Violence;
 - Rape culture;
 - Understanding aggression and standing up to aggression; and
 - Understanding online harassment through social media.

WHO DOES THIS COVER? WHEN? and WHERE? – The Scope of this Policy

If you are a Student and you have experienced Sexual Violence, UOIT can help you.

8. **WHO?** - This policy applies to *all* incidents of alleged [Sexual Violence](#) involving [Students](#).
9. **WHAT BEHAVIOUR? & WHERE?** This policy applies:

- To Students experiencing Sexual Violence or who have previously experienced Sexual Violence anywhere within the university community ;
- To Students accused of perpetrating an act of Sexual Violence against a member of the [UOIT](#) community, both on and off campus (e.g., parking garages, residences, gatherings of UOIT Students) including;
 - a) Through any conduct in the course of work, co-op, practicum, research, or study arising out of or related to UOIT's interests, and;
 - b) Through any media (e.g. in-person, written, recorded, online).

- 10. WHAT IF A NON-UOIT MEMBER IS INVOLVED?** Reports of Sexual Violence involving a UOIT Student can be filed by any individual, even if they are not affiliated with UOIT. For example, students at other institutions can file a Report to UOIT about a [UOIT Member](#) by contacting [General Counsel](#). Incidents involving a Student, [Faculty](#) or [Staff](#) member from Durham College or Trent in Oshawa, resulting from the shared campus environment, will be investigated in collaboration with those institutions.
- 11. WHAT LEGISLATION APPLIES?** The [Ministry of Training, Colleges and Universities Act](#) requires universities to have sexual violence policies to prevent and respond to incidents involving students. The [Criminal Code of Canada](#) prohibits [Sexual Assault](#), [Voyeurism](#) and [Criminal Harassment](#) (including [Stalking](#) and [Cyberbullying](#)). The [Ontario Human Rights Code](#) prohibits harassment on the basis of sex, sexual orientation, gender identity and gender expression in educational and employment matters and environments.
- 12. WHAT IF A UOIT EMPLOYEE IS INVOLVED?** Collective Agreements and/or employee policies prohibit Sexual Violence for UOIT employees. In incidents where a UOIT employee is involved, this policy will work in conjunction with the requirements of those agreements and policies. In these circumstances, Human Resources may be consulted to ensure the requirements set out under the *Policy to Prevent and Address Violence, Harassment and Discrimination in the Workplace*, and related procedures, are also applied and upheld.
- 13. WHO ENFORCES THIS POLICY?** The Vice President Academic and Provost, or successor thereof, is the policy owner, which means they are responsible for overseeing the implementation, administration, interpretation, and application of the policy.

HOW DOES THIS POLICY WORK? WHAT CAN I EXPECT? – Procedures

- 14.** The procedures set out in this document are intended to address incidents and allegations of [Sexual Violence](#) involving [Students](#).
- 15.** Students who may have experienced Sexual Violence have the right to:
- Choose whether to initiate, continue or discontinue telling their story, including the right to tell whomever they trust, the right to participate or not participate in any aspect of processes that result from filing a [Formal Report](#) or [Informal Report](#);
 - Be protected from irrelevant questions such as those related to past sexual history or sexual expression;
 - Choose whether to access support and accommodations, regardless of whether there is an official Report; and

- Choose whether to pursue recourse through external processes, such as an application to the Human Rights Tribunal of Ontario, and processes of criminal or civil justice.
16. Individuals have the right to be accompanied by legal counsel, union representative or other person at any point during this procedure and related processes.
 17. In order to ensure procedural fairness, the following principles will apply:
 - Participation in an Informal Resolution Process will not prejudice those involved in a subsequent Report or investigation;
 - Disclosers will be provided with an opportunity to submit all of their allegations along with relevant information;
 - [Respondents](#) will be provided with the information that is required to fully understand the allegations and provide a complete response;
 - Where an investigation and/or a hearing is conducted, witnesses will be given a reasonable opportunity to understand the allegations and provide relevant information; and
 - Individuals have the right to be accompanied by legal counsel, union representative, or other person at any point during this procedure and related processes.
 18. Any Reprisal, or expressed or implied threat of Reprisal, for reporting an incident or making a complaint about Sexual Violence under this procedure may itself be the subject of a Report and may be subject to [interim measures](#) (such as a conduct contract, restrictions from certain buildings on campus, or other appropriate measure).

HOW DO I TELL SOMEONE ABOUT WHAT HAS HAPPENED? – Disclosure and Reporting

19. This policy distinguishes between telling someone about what has happened ([Disclosure](#)) and telling a designated [Support Worker](#) who can provide help from a confidential space ([Reporting](#)).
20. Disclosing and Reporting [Sexual Violence](#) are personal acts. [Students](#) who share their experience have the right to be treated respectfully, and for the information provided to be kept in confidence, shared only on a need-to-know basis, where legally required. All information will be handled in accordance with the *Freedom of Information and Protection of Privacy Act*.

WHAT IS A DISCLOSURE? – Talking to a trusted person

21. [UOIT](#) recognizes that individuals who have experienced Sexual Violence may initially disclose to a friend, peer leader, or trusted [Faculty](#) or [Staff](#). The individual receiving a Disclosure should act in a caring and supportive way and should maintain confidentiality, except where the [Disclosing](#) individual consents to further information sharing in order to access help. Any person who receives a Disclosure should inform the discloser about this policy and, where needed, help them to access a Support Worker. Help for those who have received a Disclosure and guidance on how to receive a Disclosure are posted online [link].
22. In any event, those who receive a Disclosure must promptly share that information to the Office of Campus Safety in the following circumstances:

- The information received suggests there is a perceived threat or risk of harm, including self-harm, to a Student or other individual;
- The information received suggests that the actions constitute harassment and/or result in an individual feeling as though their personal safety is at risk, whether in person or online; or
- The information received suggests an incident occurred involving Workplace Violence or Workplace Harassment under the *Occupational Health and Safety Act*;

23. Those who receive a Disclosure are encouraged to consult with the Director, Campus Safety for advice about whether, and to what extent, that information must be shared. The Office of Campus Safety will use and share the information provided to the extent that is required by law.

WHO SHOULD I TALK TO? – Reporting to a Support Worker

24. In an emergency call for help. When on North campus, call Security at 905.721.3111 (x2400) to help EMS more easily locate you, when downtown or off campus call 911. Individuals may also visit the Office of Campus Safety in person (1202 Simcoe Building) or the Security Offices in Downtown locations [insert link].
25. For [Students](#) who need help, [Support Workers](#) in Student Mental Health Services are authorized to receive, on behalf of [UOIT](#), reports about incidents of [Sexual Violence](#) involving [Students](#). To make an appointment with a Support Worker, call 905.721.3392 or email studentlifeline@uoit.ca. Appointments may be held by phone or in person at a different campus location at the request of the Student. Support Workers can offer support and accommodation independent of any action related to [Reporting](#). Students may also access community supports and services listed online [link].
26. There are two ways to report Sexual Violence to UOIT, an “[Informal Report](#)” and a “[Formal Report](#)” – each type of report allows the individual to tell their story, on their own terms. The decision to disclose the details that may indicate Sexual Violence through an Informal Report and the decision to file a Formal Report are separate decisions:
- An “[Informal Report](#)” occurs when a Student discloses to a Support Worker about an incident in which Sexual Violence may have occurred. The Informal Report can be provided by any individual who has information about the incident, and does not automatically initiate a Formal Report. An Informal Report may relate to a [Respondent](#) who is, or is not, a Student.
 - A “[Formal Report](#)” is a formal written request by a [UOIT Member](#) for UOIT to investigate and address a detailed incident of Sexual Violence.
27. Informal Reports and Formal Reports to a Support Worker are made in a protected space and will be kept confidential, except under the following circumstances, and as required by law:
- The discloser seeks accommodations and consents to sharing information with other university officials on a need-to-know basis in order to make the appropriate arrangements (*e.g.*, accommodations, safety planning);
 - The discloser chooses to proceed with a Formal Report, in which case a confidential investigation will be conducted and information will be shared only to the extent necessary to achieve procedural fairness, and as otherwise required by law;

- Information is received suggesting there is a clear risk of harm, including self-harm, to a Student or other individual;
- Information suggests an incident occurred involving Workplace Violence or Workplace Harassment under the Occupational Health & Safety Act, in which case a confidential investigation will be conducted and information will be disclosed only to the extent necessary to achieve procedural fairness;
- Informing law enforcement is required by law (*e.g.*, in the case of a minor); or
- Information required for a police investigation, or for litigation purposes.

28. Access to support and accommodation through a Support Worker is available by phone, email, or through Campus Security on a 24/7 basis. Our [online support guide] details supports and services available in the community that can be contacted for help.

HOW WILL ALLEGATIONS OF SEXUAL VIOLENCE BE ADDRESSED? – Support Services

29. [Support Workers](#) support disclosers and [Complainants](#) by providing assistance and accommodation through the resolution process of their choosing. Assistance provided by a Support Worker may include:
- A detailed explanation of available processes under this policy;
 - Communicating with the discloser’s consent with counsellors or other university officials at [UOIT](#) involved in providing support and academic accommodations, [interim measures](#), interpreting university policies and guidelines, and providing information to the Office of Campus Safety;
 - Accompanying the discloser or Complainant to an appointment that they may need support to attend;
 - Referral to contacts for support, services and resources through external community partners. Available community partner services are listed online [link]; or
 - Follow up after a resolution is achieved to ensure it has been enacted and to ensure ongoing access to services where needed.
30. Disclosers or Complainants who require accommodations in their courses or other areas can work with their Support Worker to find solutions that will help minimize disruption. Accommodations may include: separation of the parties, exam or assignment deferral, class and/or schedule changes, emergency bursaries, and/or residence modification. The Support Worker will make the accommodation arrangements on the discloser’s behalf and with their consent taking care to share only enough information with other university officials as is necessary to make the accommodation.
31. If the details of the report reveal a significant risk to others, the Support Worker may contact the Office of Campus Safety and/or other law enforcement agencies. If the details of the Report involve a [Respondent](#) who is not otherwise covered by the scope of this Policy, the Office of Campus Safety will enact appropriate security measures to protect the [Student](#).

WHAT OTHER RESOLUTIONS ARE AVAILABLE? – Informal Resolution Processes

32. A discloser and/or [Complainant](#) may choose to pursue an Informal Resolution Process at any point following a Report. The [Support Worker](#) will work with the discloser or Complainant to

select options that will help them to meaningfully address the incident of [Sexual Violence](#) and where participation does not place the [Student](#) at risk. Examples of informal processes include: seeking apology; delivering an impact statement; meeting with a university official identified by the Support Worker to discuss the ways in which future occurrences of the disclosed incident can be prevented; facilitated discussion; and processes based on restorative justice principles.

33. The Support Worker will work with the [Case Manager](#) to undertake the informal resolution option selected by the discloser and/or Complainant. Participation in an Informal Resolution Process is voluntary and requires consent of all parties. The Case Manager will normally be the Director, Office of Campus Safety.
34. Where the Informal Resolution Process involves the [Respondent](#), the Support Worker will take steps to ensure that the circumstances of any meeting will appropriately protect the dignity of the Complainant through accommodations that continue to allow their participation. Accommodations that may be considered include: providing separate rooms before the meeting; alternate means of participation such as telephone, video, pre-recorded answers and statements; prepared written responses; the opportunity to have support and representation at the hearing; and other appropriate accommodations.
35. All Informal Resolution Processes between the discloser, Complainant and/or the Respondent are held in confidence and on a “without prejudice” basis. This means that the discussions that take place during the Informal Resolution Process may not be later disclosed or used in a subsequent Report or investigation. Parties involved in Informal Resolution Processes will be asked to sign a confidentiality agreement before the process proceeds.
36. If a written agreement is reached by all parties through Informal Resolution Processes, and the Case Manager approves the written agreement, the Report will be deemed resolved and this procedure will cease.
37. If the selected Informal Resolution Process is unsuccessful, new options will be made available, which may include another Informal Resolution Process or the filing of a [Formal Report](#).

IF I FILE A FORMAL REPORT, WHAT WILL HAPPEN? – The Formal Report Process

38. If an individual chooses to file and then pursue a [Formal Report](#), the [Support Worker](#) will refer the matter to a [Case Manager](#) who will oversee the process to ensure all parties are treated fairly and that the file proceeds as expeditiously as possible. The Case Manager will also provide updates to the discloser or [Complainant](#) on the progress of the file. This does not remove the Support Worker from the process; they continue to provide support throughout the process.
39. The Support Worker will provide the discloser with a [Report Form](#), or a link to an electronic Report Form, and assist them when needed to complete the form. The discloser may submit all of the allegations along with relevant information as part of their Report. The Report will be forwarded to a Case Manager by the Support Worker.
40. The Formal Reporting process begins with the Case Manager considering whether [interim measures](#) are necessary to protect the safety of the Complainant or any other [Student](#). Reasonable interim measures will be imposed on the basis of the assumption that allegations of

[Sexual Violence](#) are true, having regard to the safety of all Students, the severity of the allegations, and the Complainant's desire to restrict access to disclosed information.

41. If, during any stage following the receipt of a Report, there is evident behaviour or actions of retaliation, or expressed or implied threat of reprisal against a discloser or [Complainant](#), the [Case Manager](#) may impose temporary measures (such as a conduct contract, restrictions from certain buildings on campus, or other appropriate measure) and the reprisal may itself be the subject of a Report.
42. The Case Manager will review the [Formal Report](#) to determine whether the described incident would be covered under this policy assuming the allegations are true. During this review, the Case Manager may meet with any individual deemed necessary to assess whether the report warrants investigation.
43. If the allegations set out in the Report do not amount to Sexual Violence or the [Respondent](#) is not a [UOIT Member](#), the Case Manager will advise the parties, in writing, of the determination to not proceed with an investigation. In all other cases, the Report will be investigated. The Case Manager will advise the parties in writing that the Report will be investigated, that an investigator will be appointed, and that the parties will be contacted by the investigator in due course.

HOW DO INVESTIGATIONS WORK? – Investigations & Corrective Actions

44. The purpose of an investigation is to: gather evidence and witness statements; weigh the evidence; make findings of fact based on the evidence; and produce an investigative report. In an investigation under this procedure, the investigator must conclude, weighing the evidence on a balance of probabilities, either: (1) that [Sexual Violence](#) did occur; or (2) that Sexual Violence did not occur.
45. The [Case Manager](#) will appoint an investigator with the required training and experience to conduct a fair and objective investigation. The investigator must not be directly involved in the incidents at issue, and should not have a reporting relationship with the individuals involved in the incidents being investigated. Where accommodations are required, the discloser has the right to request and that an external investigator be appointed. To this end, the investigation may be conducted by an [UOIT](#) investigator or by an external investigator.
46. The Case Manager will provide the investigator with all relevant documents and information, except that which is privileged (*e.g.*, records of discussions that took place during Informal Resolution Processes).
47. The Case Manager will send written notice to the [Respondent](#) that an investigation of a Report of Sexual Violence is being initiated. This notice will, at minimum, be delivered in writing to a UOIT.net or UOIT.ca email account, as applicable.
48. The notice to the Respondent will contain all information that is required to fully understand the allegations and provide a complete response, including:
 - The name of the investigator;
 - A complete summary of the allegations and supporting documents;

- A summary of any further information gathered by the Case Manager; and
- An invitation for the Respondent to meet with the investigator to discuss the Report.

The notice will also provide contact information for UOIT [Support Services](#), and will indicate that the Respondent has the right to be supported and accompanied by legal counsel and/or other support.

49. The Respondent will be given a reasonable opportunity to respond to the allegations and may choose to respond in person or in writing. If no response is provided within a reasonable timeframe, set by the investigator, or the Respondent chooses not to participate, the investigator may proceed without input from the Respondent.
50. At any point during the investigation, the investigator may set meetings with any party to obtain further information. At a minimum, the investigator will make reasonable attempts to meet with the [Complainant](#) and the Respondent. The investigator may also choose to seek information from other witnesses taking care to ensure that they are given a reasonable opportunity to understand the allegations and provide relevant information. Individuals have the right to be accompanied by legal counsel, union representative, or other person at any point during this procedure or related processes.
51. Based on all available evidence, the investigator will determine whether there has been a violation of the policy, weighing the evidence on a balance of probabilities. The investigator's determination will be reported to the Case Manager in an investigative report, containing a summary of the information gathered during the investigation and the investigator's conclusions.

HOW IS A DECISION REACHED? – Associate Provost's Decision

52. The [Case Manager](#) will forward the investigative report, along with their confirmation that fair processes were followed and reference to corrective measures consistent with comparable offenses to the Associate Provost or delegate who has appropriate training and experience to make decisions involving [Sexual Violence](#).
53. The Associate Provost or delegate will consider the investigative report and determine the appropriate corrective actions including: a written warning, conduct contract, community service, alternative forms of restitution, suspension or eviction from one or more facilities at the university, or expulsion. The Associate Provost or delegate's determination will be forwarded to the Case Manager.
54. The Case Manager will provide the [Respondent](#) with a written summary of the investigation, attaching a copy of the determination.
55. The Respondent will have ten working days to provide a response, which may include a request for a meeting to hear the response. If the [Student](#) fails, without reasonable excuse, to provide a response, the Associate Provost or delegate may proceed to decide on the case in the Student's absence. This decision will be conveyed to the Respondent in writing.

56. The Case Manager will share the decision, in writing, with the [Complainant](#) and the Respondent as appropriate to maintain obligations under privacy laws, uphold procedural fairness, and ensure the health and safety of involved parties are protected.

HOW CAN A DECISION BE CHALLENGED? – Appeal

57. The decisions of the Provost under this Policy may be appealed to the Non-Academic Appeals Committee, in accordance with [Student Conduct Policy](#) and related procedures. In such cases, the case will be heard by a panel comprised of individuals with appropriate skills, training and experience to work with [Sexual Violence](#) cases.
58. If an appeal occurs, the dignity of the discloser will be protected through accommodations that allow their participation. Accommodation examples include: providing separate rooms before the meeting; alternate means of participation such as telephone, video, pre-recorded answers and statements; prepared written responses; the opportunity to bring a [Support Worker](#) to the hearing; and other accommodations suggested by the Support Worker and the discloser.

HOW OFTEN WILL THIS POLICY BE REVIEWED? – Monitoring and Review

59. This policy and procedures will be reviewed every three years at minimum as required by the MCTU Act.

WHAT OTHER POLICIES WORK WITH THIS POLICY? Related Policies

60. Several Policies interact with this policy and include:
- Fair Processes Policy
 - Student Code of Conduct
 - Policy Against Violence, Harassment and Discrimination in the Workplace

[In drafting this document, policies and protocols of other Ontario institutions, including the University of Windsor, University of Toronto, Queen’s University were reviewed. Passages from these policies, have been adapted for use in this document with their permission.]

APPENDIX A DEFINITIONS	<u>What do these terms mean?</u>
Term	Definition
"Case Manager"	A representative assigned the responsibility to manage the Report process. The Case Manager manages Report intake, oversees investigations, and issues a Case Manager's Report.
"Consent"	<p>Consent is an active, direct, voluntary, unimpaired and conscious choice and agreement to engage or continue in a sexual activity. Consent to one act does not mean consent to another. Consent:</p> <ul style="list-style-type: none"> • Is never assumed or implied; • Is not silence or the absence of "no"; • Cannot be given if the person is impaired by alcohol or drugs, or is unconscious; • Is required regardless of the parties' relationship status or sexual history together; • Can be taken back, either through words (e.g., saying no) or body language (e.g., pushing someone away); • Can never be obtained through threats or coercion; and • Cannot be given if the other person abuses a position of trust, power or authority.
"Complainant"	The individual who is alleged to have experienced Sexual Violence in a Formal Report .
"Criminal Harassment"	<p>Criminal Harassment is repeated behaviours that result in an individual feeling as though their personal safety is at risk. Criminal Harassment includes, but is not limited to what is conventionally referred to as stalking and cyberbullying. Criminal Harassment includes:</p> <ul style="list-style-type: none"> • Unsolicited communications either verbal or digital; • Following a person; • Watching a person's home, or other places where they may travel or work; and • Threatening the person or their family.
"Cyberbullying"	<p>Cyberbullying involves using digital communication technologies to engage in harassing behaviour against others. Cyberbullying includes:</p> <ul style="list-style-type: none"> • Sending mean or threatening emails or text/instant messages. • Posting embarrassing photos of someone online; • Posting degrading or harassing content online; • Creating websites to make fun of others; • Pretending to be someone by using their name; or • Tricking someone into revealing personal or embarrassing information and sending it to others
"Disclosing" and "Disclosure"	The act of providing information to another UOIT Member about an incident which may have involved Sexual Violence .

"Discrimination"	Any form of differential treatment that results in disadvantage, including imposing extra burdens, denying benefits, and/or limiting access to opportunities, based on one or more characteristics that an individual cannot change about themselves known as prohibited grounds under the Ontario Human Rights Code, namely: age; ancestry, colour, race; citizenship, ethnic origin; place of origin; creed; disability; family status; marital status (including single status); gender identity, gender expression; receipt of public assistance (in housing only); record of offences (in employment only); sex (including pregnancy and breastfeeding); sexual orientation.
"Faculty"	A Faculty Member at UOIT .
"Formal Report"	A formal written request, to investigate and address an incident that may have involved Sexual Violence .
"Indecent Exposure"	Indecent Exposure is when an individual exposes their genitals to other people (typically strangers caught off guard) in order to gain sexual satisfaction. Indecent Exposure is also known as flashing or exhibitionism and is a criminal offense under the Criminal Code of Canada.
"Informal Report"	A verbal account of an incident that may have involved Sexual Violence . This account remains confidential except when confidentiality must be broken, as described in section 22, or unless sharing is otherwise legally required.
"Interim Measures"	Any measures that are taken during the process of addressing a Disclosure or Report, including, for example, limiting contact between involved parties.
"Intimate Partner Violence"	Controlling, abusive, and aggressive behavior in an interpersonal romantic relationship. It can happen to anyone. Intimate partner violence can also be referred to as dating violence and domestic violence. All are considered forms of Sexual Violence .
"Reporting"	The act of disclosing to a Support Worker .
"Report Form"	A form provided by a Support Worker or Case Manager which is completed by a Complainant to initiate a Report.
"Respondent"	An individual who is alleged to have engaged in Sexual Violence in a Formal Report .
"Sexual Assault"	Is sexual touching of another person with any object or body part that is without Consent or by force. Any sexual activity without consent is sexual assault. (Criminal Code of Canada, section 271, 272, 273) Sexual Assault includes rape.

"Sexual Harassment"	<p>A course of vexatious comment, conduct and/or communication based on sex, sexual orientation, gender, gender identity or gender expression, or orientation that is known or should have been known to be unwelcome. Sexual Harassment is a form of Sexual Violence and may include, but is not limited to:</p> <ul style="list-style-type: none"> • Sexual solicitation, advances, or remarks, including any situation where there is an implied or express promise of reward or benefit in return for sexual favours, and/or implied or express threat or act of reprisal if sexual favours are denied (e.g., coercion); • Gender-based harassment that enforces traditional heterosexual gender norms, roles, or behaviours and is often used as a bullying tactic. • Physical contact of a sexual nature (including Sexual Assault in the Criminal Code); Suggestive or inappropriate comments or gestures (including songs and chants); • Non-consensual posting of pictures, aggressive comments, and slurs on social media; • Inappropriate display of sexually suggestive pictures, posters, objects, graffiti; and <p>Sexual conduct that interferes with an individual's dignity or privacy such as voyeurism.</p>
"Sexual Violence"	<p>Any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, that is committed, threatened or attempted against a person without the person's consent, and includes sexual abuse, Sexual Assault (including rape), Sexual Harassment, Stalking, trafficking, Criminal Harassment, circulating degrading sexual imagery, Indecent Exposure, Intimate Partner Violence, Voyeurism and sexual exploitation.</p>
"Staff"	<p>An employee at UOIT not represented by a collective agreement.</p>
"Stalking"	<p>A form of Criminal Harassment involving repeated conduct that is carried out over a period of time and that causes an individual to reasonably fear for their safety or the safety of someone known to them. Stalking does not require physical injury; it is enough if the conduct makes a person fearful.</p>
"Student"	<p>A Student currently registered or previously enrolled at UOIT.</p>
"Support Services"	<p>The services referenced in sections 29 through 31.</p>
"Support Worker"	<p>Staff Members designated in this Policy to receive Disclosures and/or Reports and to make getting help easier by providing aid to disclosers on behalf of UOIT.</p>
"UOIT"	<p>University of Ontario Institute of Technology.</p>
"UOIT Member"	<p>A Student, Faculty or Staff, individuals engaging in work, research or study arising out of or related to UOIT's interests, and any individual on or visiting UOIT.</p>
"Voyeurism"	<p>The act of deriving sexual gratification from the covert observation of others as they undress or engage in sexual activities. This may include recording such activity and distributing it. When the behaviour of the individual watching another is unwelcome, repeated and makes the observed person feel unsafe, it may also constitute Criminal Harassment.</p>



BOARD REPORT

Action Required:

Public:
 Non-Public:

Discussion
 Decision

TO: Board of Governors

DATE: December 7, 2016

FROM: Karyn Brearley, Chair of Governance, Nominations and Human Resources Committee (GNHR)

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

A. Purpose

We are seeking the Board of Governors' approval of the Policy Against Violence, Harassment and Discrimination in the Workplace and the related Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace.

B. Background/Context

The passing of the *Sexual Violence and Harassment Action Plan Act (Supporting Survivors and Challenging Sexual Violence and Harassment), 2015* (the "SVHAP Act"), introduced a number of amendments that require universities to review and address their policies and processes for preventing and responding to sexual violence and harassment on their campuses.

The University initially presented a single parent policy to the University community that was intended to reinforce the University's values and commitment to creating an environment that is free from all forms of violence, sexual violence, harassment and discrimination for all of its community members. While this perspective remains and is reflected in an umbrella policy against violent behavior, as consultation and work progressed over the past several weeks it was determined that the best policy approach would be to develop separate and distinct policy instruments that would address issues of Violence, Harassment and Discrimination in the Workplace.

Discussion and Rationale

The Policy Against Violence, Harassment and Discrimination in the Workplace has been developed to prevent Workplace Violence, Harassment (including Sexual Harassment) and Discrimination through proactive measures and ensure that the University is able to effectively address and respond to reports of Violence, Harassment and Discrimination when they occur in the Workplace.

The Policy serves as a framework for the associated Procedures and these policy instruments taken together will:

- Educate and inform Employees, as well as other members of the University community, regarding issues of violence, harassment, and discrimination in the Workplace;
- Support Employees who experience acts of violence, sexual violence, harassment, and discrimination in the Workplace to seek help and advice relating to the processes and outcomes available to them;
- Address how the University will meet its obligations under the *Human Rights Code*, R.S.O. 1990, c. H.19, and the *Occupational Health and Safety Act*, R.S.O. 1990, c. O.1; and
- Meet the commitments to procedural fairness established under the new Fair Processes Policy.

Consultation and Approval

The draft Policy and the associated Procedures have been circulated to SLT and were posted online on November 2nd for broad consultation with the University community. Online feedback has been received and incorporated into the revised draft. The drafts circulated to Academic Council on November 14 were also circulated to the Policy Advisory Committee (November 17) and the Health and Safety Committee (November 18) for further consultation and feedback. A special policy consultation session with Academic Council was also held on November 29.

The advice from the community, Academic Council, the UOIT Faculty Association, Policy Advisory Committee, and the Joint Health and Safety Committee has been incorporated into the attached drafts.

The Policy Against Violence, Harassment and Discrimination in the Workplace and the associated Procedures will be effective upon approval by the Board. They will be reviewed again in the Spring, thereby allowing the community a three-month period within which to provide additional comments. Should the Board conclude that further amendments are required, such amendments will be presented at the Board meeting on May 3, 2017. The Policy and Procedures will then be the subject of an annual review.

C. Request

We are requesting the Board's approval of the following motion:

That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the Policy Against Violence, Harassment and Discrimination in the Workplace and Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace (Procedures), as presented. In the future, amendments to the Procedures will be presented to GNHR for approval in accordance with the Policy Framework.



Classification	LCG 1137
Framework Category	Legal, Compliance, and Governance
Approving Authority	Board of Governors
Policy Owner	Vice President responsible for Human Resources
Approval Date	FOR APPROVAL
Review Date	May, 2017
Supersedes	See end notes

POLICY AGAINST VIOLENCE, HARASSMENT AND DISCRIMINATION IN THE WORKPLACE

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POLICY PURPOSE

1. The purpose of this Policy is to prevent Workplace Violence, Harassment and Discrimination through proactive measures, and to ensure that the University effectively addresses and responds to Reports of Violence, Discrimination and Harassment in accordance with the *Occupational Health and Safety Act* and the *Human Rights Code*.

Any person who finds themselves or others to be at risk of imminent danger should summon immediate assistance by contacting:

On Campus: Office of Campus Safety
 Extension: 2400
 Direct line: 905.721.3211
 Code Blue Stations

Off Campus: Durham Regional Police Service
 911 (emergency)
 905.579.1520 (non-emergency)

DEFINITIONS

The following definitions apply throughout this Policy, and underlying procedures:

2. "**Bullying**" is a form of Harassment that involves repeated incidents, or a pattern of behaviour, that is intended to intimidate, offend, denigrate, degrade or humiliate a particular individual or group of individuals.
3. "**Complainant**" refers to an Employee who is alleged to have experienced Workplace Violence, Harassment and/or Discrimination. A Complainant may experience discrimination directly or indirectly.
4. "**Discrimination**" is a distinction, without lawful justification, whether intentional or not, which has the effect of denying benefits to, or otherwise disadvantaging, an Employee in the course of their employment on the basis of a Protected Ground (defined below).
5. "**Discriminatory Harassment**" means engaging in a course of vexatious comment or conduct, against an Employee in the course of their employment, based on a Protected Ground, that is known or ought reasonably to be known to be unwelcome. Discriminatory Harassment may include, for example, racist jokes, sexual harassment or gender-based harassment.
6. "**Employee**" means any individual employed by UOIT, including but not limited to Employees who are members of a bargaining unit, and Employees who are not. Students who are employed at UOIT during the course of their studies, are "Employees" for the purposes of this Policy when they are engaged in employment activities, but not otherwise.
7. "**Faculty**" includes a Faculty Member, or previous Faculty Member, at UOIT, and includes those with both limited term and indefinite term appointments, as well as those with paid, unpaid and honorific appointments. For greater certainty, "Faculty" also includes visiting scholars and emeritus professors.
8. "**FIPPA**" means the *Freedom of Information and Protection of Privacy Act*, RSO 1990, c. F.31.
9. "**Harassment**" includes Discriminatory Harassment, Workplace Harassment, and Workplace Sexual Harassment.
10. "**Human Resources**" means the department of Human Resources at UOIT, or its delegate.
11. "**JHSC**" means the Joint Health & Safety Committee(s) at UOIT.

12. "**Member**" includes a Student, Faculty or Staff Member.
13. "**Personal Information**" means information about an identifiable individual, as defined in s. 2 of FIPPA, as amended from time to time.
14. "**Person(s) of Authority**" includes any person who has charge of a workplace or authority over another Employee. Anyone who supervises an Employee at UOIT is a Person of Authority.
15. "**Policy**" refers to this *Policy Against Violence, Harassment and Discrimination in the Workplace*.
16. "**Protected Ground**" includes race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, Record of Offences, marital status, family status or disability, and any additional protected grounds that are added to the Ontario *Human Rights Code* by way of statutory amendment.
17. "**Record of Offences**" means a conviction for,
 - a. an offence in respect of which a pardon has been granted under the *Criminal Records Act* and has not been revoked, or
 - b. an offence in respect of any provincial enactment.
18. "**Report**" refers to information about Workplace Violence, Harassment and/or Discrimination in the workplace that is reported under the *Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace*.
19. "**Reporting Process**" refers to the process for reporting information about Harassment and/or Discrimination in the workplace under the *Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace*.
20. "**Respondent**" refers to anyone who is alleged to have engaged in behaviours of Violence, Harassment and/or Discrimination in a Report or investigation.
21. "**Staff**" means a Staff Member, or former Staff Member, at UOIT.
22. "**Student**" includes any student who is registered, or was previously registered, at UOIT.
23. "**University**" or "**UOIT**" means the University of Ontario Institute of Technology.
24. "**workplace**" means any place where UOIT Employees engage in employment activity, including employment activities online, outside the normal place of work, and employment activities that occur outside of normal working hours.

25. "**Workplace Harassment**" means,

- a. engaging in a course of vexatious comment or conduct against an Employee in a workplace that is known or ought reasonably to be known to be unwelcome, including bullying,
- b. Workplace Sexual Harassment (defined below), and/or
- c. Workplace Sexual Violence (defined below).

A reasonable action taken by UOIT or a Person of Authority relating to the management and direction of an Employee or a workplace is not Workplace Harassment. Workplace Harassment includes, but is not limited to, Bullying.

26. "**Workplace Sexual Harassment**" means,

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

Workplace Sexual Harassment includes but is not limited to, rough or vulgar humour or language related to sexuality, or showing or sending pornography.

27. "**Workplace Sexual Violence**" means, any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, that is committed, threatened or attempted against a person without the person's consent, in the workplace, and includes sexual assault, sexual harassment, stalking, indecent exposure, voyeurism and sexual exploitation.

28. "**Workplace Violence**" means,

- a. the exercise of physical force by a person against an Employee, in a workplace, that causes or could cause physical injury to the Employee,
- b. an attempt to exercise physical force against an Employee, in a workplace, that could cause physical injury to the Employee,
- c. a statement or behaviour that is reasonable for an Employee to interpret as a threat to exercise physical force against the Employee, in a workplace, that could cause physical injury to the Employee, or

d. Workplace Sexual Violence (defined above).

Workplace Violence includes, for example, verbally threatening to attack an Employee, shaking a fist in an Employee's face, wielding a weapon at work, hitting or trying to hit an Employee, or throwing an object at an Employee.

SCOPE AND AUTHORITY

29. The Vice President with responsibility for Human Resources is the Policy Owner. The Policy Owner is responsible for overseeing the implementation, administration, interpretation and application of this Policy.
30. This Policy applies to all Employees in the course of their employment, and is intended to address Violence, Harassment and Discrimination against Employees from all sources, including colleagues, coworkers, supervisors, managers, administrators, students and other members of the University community, and the public.
31. This Policy applies to all aspects of the employment relationship, including recruitment, training, evaluation, development and promotion of Employees.
32. This Policy is not geographically limited, and applies to any employment activity, including employment activities that occur outside the normal place of work, and employment activities that occur outside of normal working hours.
33. This Policy does not override or diminish the rights provided to Employees under applicable collective agreements, and will be applied with appropriate regard to the rights established under those agreements.
34. This Policy does not preclude Employees from pursuing resolution through external resources and processes, including those offered by the Human Rights Legal Support Centre, the police, the Ontario Labour Relations Board, the Ontario Human Rights Commission and the Human Rights Tribunal of Ontario.

POLICY

35. The University is committed to providing a work environment in which all Employees are treated with dignity, and to fostering a climate of understanding and mutual respect for the value of each Employee. To this end:
 - a. The University will not tolerate Workplace Violence, Harassment and/or Discrimination in the workplace.

- b. The University will ensure that procedures are in place for the prevention of, and response to, Workplace Violence, Harassment and/or Discrimination.
- c. The University will provide information, instruction and assistance to Employees with respect to Workplace Violence, Harassment and/or Discrimination.
- d. The University will ensure Persons of Authority are provided with information and instruction that will enable them to recognize, assess and address Violence, Harassment and/or Discrimination in the workplace, and to understand how to respond appropriately when such incidents are alleged.
- e. The University will not penalize an Employee for submitting a Report in good faith, or for participating in a related investigation. This protection does not apply to an Employee who submits a Report that is determined to be frivolous or vexatious, or who exhibits bad faith in the course of an investigation. An Employee who believes they have been penalized for submitting a Report in good faith, or for participating in a related investigation, may pursue the allegation of reprisal by submitting a Report under the [\[INSERT LINK:\]](#) *Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace*, and/or may pursue a reprisal complaint through external processes.
- f. The University will respect the privacy of individuals involved in Reports and investigations, ensuring information about a Report is not disclosed, except to the extent necessary to investigate, take corrective action, implement measures to protect the health and safety of Employees, or as otherwise required by law.
- g. Personal Information collected under this Policy will be used only for the purposes of administering this Policy, and will be disclosed only on a need-to-know basis, to the extent disclosure is required to fulfill the University's legal obligations under the *Human Rights Code*, the *Occupational Health & Safety Act*, and any other applicable law and/or legal obligations, including any applicable collective agreement. Subject to applicable law, Personal Information collected, used and disclosed under this Policy will otherwise be kept confidential, and will be stored and disposed of in accordance with FIPPA and UOIT's *Records Management Policy*.
- h. The University will administer the processes set out in the *Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace*, responding to Reports fairly and promptly, with adequate

regard to the unique circumstances of each particular case, and in a manner that strikes a balance between the privacy of individuals and the severity of the matters at issue.

- i. The University will inform and update individuals who are involved in investigations about the status of those investigations as they progress.

36. Employees who engage in Workplace Violence, Harassment and/or Discrimination will be held accountable and may be subject to disciplinary measures, up to and including termination of employment. In any event, the University will act in accordance with the rights and obligations established by applicable collective agreements.

37. Employees may refuse to work, or do particular work, where they have reason to believe that Workplace Violence is likely to endanger the Employee.

ROLES AND RESPONSIBILITIES

38. Employees

- a. Employees must not engage in Workplace Violence, Harassment or Discrimination.
- b. Employees are, along with UOIT, responsible for creating and maintaining an environment that is free from Workplace Violence, Harassment and Discrimination.
- c. Employees are encouraged to report incidents of Workplace Violence, Harassment and Discrimination by communicating such incidents to their supervisor. If the Employee's supervisor is involved in the incidents at issue, the information should be reported directly to the administrator who the Employee's supervisor reports to, or directly to Human Resources [\[LINK TO ASSIGNED PERSON IN THE HUMAN RESOURCES DEPARTMENT\]](#). If the Employee's supervisor is involved in the incidents at issue, and that supervisor is a member of Human Resources, then the information should be reported to UOIT General Counsel.
- d. Where it is requested and reasonably required, Employees shall participate in the Reporting Process, and/or any related investigation.
- e. Employees who are found to have engaged in Workplace Violence, Harassment and/or Discrimination under this Policy will comply with the corrective measures imposed by the University, subject to relevant collective agreements, including grievance and arbitration processes.

39. Persons of Authority

- a. Persons of Authority are responsible for supporting UOIT in its duty to create and maintain an environment that is free from Workplace Violence, Harassment and Discrimination.
- b. Persons of Authority shall lead by example, acting respectfully in dealings with all Employees, and in particular, those Employees under their supervision.
- c. Persons of Authority are responsible for familiarizing themselves with this Policy and related procedures, and for directing Employees under their supervision who have information about Workplace Violence, Harassment and/or Discrimination to follow the appropriate procedures.
- d. Persons of Authority will ensure Employees under their supervision are aware of this Policy and its associated procedures, and must otherwise assist in the prevention of Discrimination and Harassment in the workplace.
- e. Persons of Authority are responsible for supporting UOIT in its duty to recognize, assess and address Workplace Violence, Harassment and/or Discrimination. For example, Persons of Authority should intervene promptly when they become aware of Workplace Violence, Harassment and/or Discrimination, and should seek assistance from Human Resources [\[LINK TO ASSIGNED PERSON IN THE HUMAN RESOURCES DEPARTMENT.\]](#), unless a member of Human Resources is directly involved in the incidents at issue, in which case assistance should be sought from UOIT General Counsel.
- f. When a Person of Authority becomes aware of information about Workplace Violence, Harassment and/or Discrimination in the workplace, that Person of Authority must ensure the information is reported in the form of a Report.

40. Human Resources

- a. Human Resources will take primary responsibility for updating this Policy and related procedures, ensuring that this Policy, and all related procedures, are reviewed as often as is necessary, and in any event, at least annually, in consultation with all appropriate departments and the JHSC(s), and in accordance with the University's Policy Framework and relevant collective agreements.
- b. Human Resources will, as often as is necessary:

- i. assign a Human Resources Employee to implement and oversee the activities outlined below, and in related procedures,
 - ii. assign a Human Resources Employee to act as a contact for those who wish to make Reports;
 - iii. assess the risk of Workplace Violence that may arise from the nature of the workplace, type of work or conditions of work, taking into account the circumstances of the workplace and circumstances common to similar workplaces, as well as any other elements prescribed in regulation; and
 - iv. develop measures and procedures to control identified risks that are likely to expose an Employee to Workplace Violence.
 - c. Human Resources shall share the results of risk assessments conducted under b iii above with the JHSC(s).
 - d. Human Resources is primarily responsible for overseeing compliance with the *Occupational Health & Safety Act*, including:
 - i. providing Employees with appropriate information and instruction with respect to Workplace Violence and Workplace Harassment, including notifying them of this Policy and its related procedures;
 - ii. ensuring all Persons of Authority are provided with information and instruction that will enable them to recognize, assess and address Workplace Violence and Workplace Harassment in their respective workplaces, and will ensure Persons of Authority are aware of this Policy and related procedures;
 - iii. ensuring that copies of this *Policy Against Violence, Harassment and Discrimination in the Workplace* and related procedures are posted on the established health and safety bulletin boards where it is likely to come to the attention of Employees; and
 - iv. notifying the Ministry of Labour and JHSC, when required, under the OHS Act.
 - e. Human Resources is also responsible for:
 - i. receiving and responding to Reports;
 - ii. ensuring Reports are investigated, internally or externally, and responded to in a timely and equitable manner, as outlined in this Policy and in related procedures;

- iii. ensuring the appropriate departments and/or individuals are advised of a Report, where appropriate;
- iv. ensuring the outcome of an investigation under this Policy, and the corrective actions taken (if any), are communicated in writing to Complainant(s) and Respondent(s) who are Employees;
- v. ensuring that copies of this *Policy Against Violence, Harassment and Discrimination in the Workplace* and related procedures are posted on a University website; and
- vi. Where a member of Human Resources is directly involved in the incidents at issue, the above responsibilities will be assumed by UOIT General Counsel.

RELEVANT LEGISLATION

41. Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended

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

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

RELATED POLICIES, PROCEDURES AND DOCUMENTS

42. Academic Staff Employment Policies

Access to Information and Protection of Privacy Policy

Emergency Management Plan and Procedures

Fair Processes Policy

Non-Academic Staff Policies

Policy to Prevent and Respond to Sexual Violence for Students

Procedures for Responding to Incidents of Sexual Violence

Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace

Records Management Policy

UOIT Joint Health and Safety Committee Terms of Reference

UOIT Occupational Health and Safety Management System

UOIT Student Conduct Policy

UOIT-Durham College Threat Assessment Procedures

Work Refusal Procedures

Workplace Violence Incident Report

END NOTES

43. This Policy supersedes the Harassment and Discrimination Policy (LCG 1105), November 2004 and Workplace Violence Policy (LCG 1112), January 2014



Classification	LCG 1137.01
Parent Policy	Policy Against Violence, Harassment and Discrimination in the Workplace
Framework Category	Legal, Compliance and Governance
Approving Authority	Board / Governance, Nominations and Human Resources Committee
Policy Owner	Vice-President responsible for Human Resources
Approval Date	FOR APPROVAL
Review Date	May 2017
Supersedes	See end notes

PROCEDURES TO PREVENT AND ADDRESS VIOLENCE, HARASSMENT AND DISCRIMINATION IN THE WORKPLACE

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Any person who finds themselves or others to be at risk of imminent danger should summon immediate assistance by contacting:

On Campus: Office of Campus Safety
 Extension: 2400
 Direct line: 905.721.3211
 Code Blue Stations_

Off Campus: Durham Regional Police Service
 911 (emergency)
 905.579.1520 (non-emergency)

DEFINITIONS

1. "**Bullying**" is a form of Harassment that involves repeated incidents, or a pattern of behaviour, that is intended to intimidate, offend, denigrate, degrade or humiliate a particular individual or group of individuals.
2. "**Complainant**" refers to an Employee who is alleged to have experienced Workplace Violence, Harassment, Discrimination and/or Reprisal. A Complainant may experience discrimination directly or indirectly. Singular references to "Complainant" are deemed to include references to multiple Complainants where there are multiple Complainants.
3. "**Discrimination**" is a distinction, without lawful justification, whether intentional or not, which has the effect of denying benefits to, or otherwise disadvantaging, an Employee in the course of their employment on the basis of a Protected Ground.
4. "**Discriminatory Harassment**" means engaging in a course of vexatious comment or conduct, directed at an Employee in the course of their employment, based on a Protected Ground, that is known or ought reasonably to be known to be unwelcome. Discriminatory Harassment may include, for example, racist jokes, sexual harassment or gender-based harassment.
5. "**Employee**" means any individual employed by UOIT, including but not limited to Employees who are members of a bargaining unit, and Employees who are not.
6. "**Faculty**" includes a Faculty Member, or previous Faculty Member, at UOIT, and includes those with both limited term and indefinite term appointments, as well as those with paid, unpaid and honorific appointments. For greater certainty, "Faculty" also includes visiting scholars and emeritus professors.
7. "**FIPPA**" means the *Freedom of Information and Protection of Privacy Act*, RSO 1990, c. F.31, as amended from time to time.
8. "**Harassment**" includes Discriminatory Harassment, Workplace Harassment, and Workplace Sexual Harassment.
9. "**Human Resources**" means the department of Human Resources at UOIT, or its delegate.
10. "**JHSC**" means the Joint Health & Safety Committee(s) at UOIT.
11. "**Member**" includes a Student, Faculty or Staff.
12. "**Personal Information**" means information about an identifiable individual, as defined in s. 2 of FIPPA.

13. "**Person(s) of Authority**" includes any person who has charge of a workplace or authority over another Employee. Anyone who supervises an Employee at UOIT is a Person of Authority.
14. "**Policy**" refers to the *Policy Against Violence, Harassment and Discrimination in the Workplace*.
15. "**Protected Ground**" includes race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, gender identity, gender expression, age, Record of Offences, marital status, family status or disability, and any additional protected grounds that are added to the Ontario *Human Rights Code* by way of statutory amendment or interpretation.
16. "**Record of Offences**" means a conviction for,
 - a. an offence in respect of which a pardon has been granted under the *Criminal Records Act* and has not been revoked, or
 - b. an offence in respect of any provincial enactment.
17. "**Report**" refers to information about Workplace Violence, Harassment, Discrimination and/or Reprisal in the workplace that is reported to Human Resources under the *Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace*. Under the Policy and this procedure, an incident report submitted to the Office of Campus Security does not qualify as a "Report".
18. "**Reporting Process**" refers to the process set out under this procedure for submitting a Report to Human Resources and its processing. Submitting an incident report to the Office of Campus Security does not automatically initiate the Reporting Process.
19. "**Reprisal**" refers to a retaliation against any individual for submitting a Report, or participating in a related investigation, under this procedure.
20. "**Respondent**" refers to anyone who is alleged to have engaged in behaviours of Violence, Harassment and/or Discrimination in a Report or investigation. Singular references to "Respondent" are deemed to include references to multiple Respondents where there are multiple Respondents.
21. "**Staff**" means a Staff Member, or former Staff Member, at UOIT.
22. "**Student**" includes any student who is registered, or was previously registered, at UOIT.
23. "**University**" or "**UOIT**" means the University of Ontario Institute of Technology.

24. "**workplace**" means any place where UOIT Employees engage in employment activity, including employment activities online, outside the normal place of work, and employment activities that occur outside of normal working hours.

25. "**Workplace Harassment**" means,

- a. engaging in a course of vexatious comment or conduct against an Employee in a workplace that is known or ought reasonably to be known to be unwelcome,
- b. Workplace Sexual Harassment (defined below), and/or
- c. Workplace Sexual Violence (defined below).

A reasonable action taken by UOIT or a Person of Authority relating to the management and direction of an Employee or a workplace is not Workplace Harassment. Workplace Harassment includes, but is not limited to, Bullying.

26. "**Workplace Sexual Harassment**" means,

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

Workplace Sexual Harassment includes, for example, rough or vulgar humour or language related to sexuality, or showing or sending pornography.

27. "**Workplace Sexual Violence**" means, any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, that is committed, threatened or attempted against a person without the person's consent, in the workplace, and includes sexual assault, sexual harassment, stalking, indecent exposure, voyeurism and sexual exploitation.

28. "**Workplace Violence**" means,

- a. the exercise of physical force by a person against an Employee, in a workplace, that causes or could cause physical injury to the Employee,
- b. an attempt to exercise physical force against an Employee, in a workplace, that could cause physical injury to the Employee, or

- c. a statement or behaviour that is reasonable for an Employee to interpret as a threat to exercise physical force against the Employee, in a workplace, that could cause physical injury to the Employee, or
- d. Workplace Sexual Violence (defined above).

Workplace Violence includes, for example, verbally threatening to attack an Employee, shaking a fist in an Employee's face, wielding a weapon at work, hitting or trying to hit an Employee, or throwing an object at an Employee.

PURPOSE OF THIS PROCEDURE

- 29. The purpose of this procedure is to establish processes to prevent Workplace Violence, Harassment, Discrimination and/or Reprisal through proactive measures, and to ensure that the University effectively addresses and responds to Reports of Violence, Harassment, Discrimination and Reprisal in accordance with the *Occupational Health and Safety Act* and the *Human Rights Code*.
- 30. Under this procedure, a "Report" may be submitted by an individual who has experienced Workplace Violence, Harassment, Discrimination and/or Reprisal, or any other individual who has witnessed such incidents.

GUIDING PRINCIPLES

- 31. Records. Human Resources will maintain a confidential file for each Report, including all related communications, memoranda, reports, statements and evidence. These records will be retained, and disposed of, in accordance with FIPPA and UOIT's *Records Management Policy*.
- 32. Confidentiality. Information collected under this procedure will be used only for the purposes of administering the *Policy Against Violence, Harassment and Discrimination in the Workplace*, and related processes, and may be disclosed only on a need-to-know basis to the extent required to fulfill the University's legal obligations. Personal Information collected, used and disclosed under this procedure will otherwise be kept confidential. To this end:
 - a. Physical documents collected and created under this procedure will be kept in a confidential file at Human Resources.
 - b. Reasonable steps will be taken to protect against unauthorized access to such documents. In each particular case, only the individual(s) authorized by Human Resources under paragraph 34 of the Policy, the Provost or delegate, an assigned investigator, and the Non-Academic Appeals Committee, will have general access to documents collected and created under this procedure, including electronic documents. Such documents

will be disclosed to witnesses, including but not limited to Complainants and Respondents, on a need-to-know basis.

- c. All individuals involved in this procedure will be advised of their duty to maintain the confidentiality of all information disclosed to them in this procedure, including any Personal Information disclosed to them.
- d. Personal Information obtained during the Reporting Process will not be disclosed except to the extent that disclosure is necessary for the purposes of investigating Reports, taking corrective action, protecting the health and safety of members of the University community, or as otherwise required by law. For example, information may be shared with the Office of Campus Safety if this is necessary to protect an individual who has allegedly experienced Workplace Violence, Discrimination, Harassment and/or Reprisal.
- e. Except as required under the Policy and its underlying procedures, or as otherwise required by law, investigation reports created under this procedure will not normally be disclosed or produced to a Complainant, Respondent or witness. Complainants, and Respondents who are Employees, will, however, be advised of the outcome of the investigation and the corrective actions taken, if any.

33. Right to an Advisor and Support Person(s). Individuals who attend an interview in an investigation under this procedure may be accompanied by one advisor and up to two support persons. The role of an advisor is to assist the individual by providing procedural information, and to ask questions regarding the investigation process. The role of a support person is to provide moral support. Individuals who choose to attend an interview with an advisor and/or support persons(s) will choose their own advisor and/or support person(s) and will notify the investigator of their advisor's name, and their support person(s)' name(s), at least 24 hours prior to the interview. In the case of an Employee who is a member of a bargaining unit, the advisor may be a union representative. During the interview, an advisor will be permitted to speak and ask questions regarding the investigation process, but will not be permitted to make legal submissions or arguments on behalf of the individual, or to disrupt the interview. In any event, individuals who are being interviewed must answer the interview questions themselves.

34. Informal Resolution Process. At any stage during this procedure an Informal Resolution Process, such as mediation, can be pursued if the Complainant, Respondent and Human Resources consent to Informal Resolution Processes being pursued and to its format. Where those involved in the Informal Resolution Processes reach an agreed resolution, that resolution will become binding and effective upon written approval of the Vice President overseeing Human Resources, or delegate. Once an Informal Resolution Process has commenced, the investigation

may be delayed for a maximum period of 30 calendar days, after which, unless a resolution has been reached and approved, the investigation will be re-commenced. Even if a resolution is reached and approved, Human Resources retains the discretion to continue/complete its investigation where it is appropriate to do so, having regard to relevant collective agreement requirements and applicable law, and, to protect the interests of the University and its Members.

35. Reprisal. Any Reprisal, or expressed or implied threat of Reprisal, for making and pursuing a Report under this procedure is itself considered a breach of the Policy. Any individual experiencing Reprisal may file a Report, and that Report will be processed under this procedure.
36. Non-Exclusive Procedure - This procedure does not preclude Employees from pursuing resolution through external resources and processes, including those offered by the Human Rights Legal Support Centre, the police, the Ontario Labour Relations Board, the Ontario Human Rights Commission and the Human Rights Tribunal of Ontario.
37. Safety is Paramount: UOIT has an overriding obligation to protect the safety of all UOIT Members. When the safety of community members is at risk, UOIT reserves the right to investigate and respond appropriately, independent of a Complainant's and/or Respondent's course of action under this procedure.

INVOLVEMENT OF MEMBERS OTHER THAN EMPLOYEES

38. This procedure applies to incidents of Violence, Harassment and Discrimination against Employees from all sources, including students, colleagues, coworkers, supervisors, managers, administrators, other members of the University community, and the public.
39. This procedure necessarily overlaps with other University procedures that are concerned with preventing and addressing incidents of Violence, Harassment and Discrimination involving Students. UOIT will administer the overlap according to the following principles:
 - a. This procedure will be applied to all incidents in which an Employee has allegedly experienced Violence, Harassment, Discrimination and/or Reprisal to ensure the University satisfies its commitment to, and its obligations under, legislation and collective agreements.
 - b. Where it is alleged that a student has, in their capacity as a student, engaged in Violence, Harassment, or Discrimination against an Employee, then the matter will be addressed under the *Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence*. However, in such cases, Human Resources will nevertheless be consulted

in the process to ensure any investigation and/or corrective action satisfy the standards set out this Policy and all applicable collective agreements.

40. Where an individual, other than a Member, is alleged to have engaged in Workplace Violence, Discrimination, Harassment and/or Reprisal against an Employee, Human Resources will consult with Members at risk, and other Members if necessary, to determine and implement reasonable measures to protect the health and safety of its Employees. However, because Human Resources does not have the jurisdiction to compel statements from members of the general public, or to impose sanctions upon them, it will not normally conduct a formal investigation in such cases.

PREVENTATIVE MEASURES

41. Human Resources will provide information and instruction to Employees regarding Workplace Violence, Harassment, Discrimination and/or Reprisal. Information about workplace violence prevention and response, including training programs, is available on the UOIT Health and Safety Website (<http://healthandsafety.uoit.ca/>).
42. Human Resources will, as often as is necessary, assess the risk of Workplace Violence that may arise from the nature of the workplace, type of work or conditions of work, taking into account the circumstances of the workplace and circumstances common to similar workplaces, as well as any other elements prescribed in regulation. Upon the conclusion of this assessment, Human Resources will develop measures and procedures to control identified risks that are likely to expose an Employee to Workplace Violence.
43. When incidents of Workplace Violence, Harassment, Discrimination and/or Reprisal occur, Human Resources will ensure that reasonable steps are taken to prevent such incidents in the future.

REPORTING

44. Incidents, or perceived threats, of Workplace Violence, Workplace Harassment, Discrimination and/or Reprisal should be promptly reported to a Person of Authority and Human Resources. If a member of Human Resources is involved in the incident at issue, then the incident should be reported to UOIT General Counsel.
45. Anyone who witnesses an incident of Workplace Violence should also promptly report it to the Office of Campus Safety. Employees who witness an incident of Workplace Violence must complete a Workplace Violence incident report form as soon as possible. If several Employees are involved in or witness the incident, each Employee must file a separate report with the Office of Campus Safety. The Office of Campus Safety will immediately forward a copy of all Workplace Violence incident

reports to the Director of Human Resources, when there is a situation that presents a threat of further Workplace Violence to Employees, volunteers or visitors.

46. If UOIT becomes aware that circumstances of domestic violence may expose an Employee to physical injury in the workplace, UOIT will take every precaution reasonable in the circumstances to protect that Employee. To this end, Employees who become aware of such risks must report those risks to a Person of Authority, who must in turn advise Human Resources. Human Resources will consult with the Employee at risk, and other Members if necessary, to determine and implement reasonable measures to protect the Employee.
47. The University will provide appropriate support services to Employees who are victims of Workplace Violence, Harassment, Discrimination and/or Reprisal. This may include the creation of a personal safety plan through the Office of Campus Safety, the provision of Employee counselling through the Employee Assistance Program and/or referral to the Victim Service Unit of Durham Regional Police Services.

THE REPORTING PROCESS

Step 1 - Submitting a Report

48. Submitting an incident report to the Office of Campus Security does not automatically initiate a formal "Report". A "Report", and the corresponding "Reporting Process", is initiated only when an individual completes the Report form (website here; Appendix X) that is available from Human Resources. Human Resources will, on its own initiative, initiate a Report when it receives information regarding an incident of Workplace Violence, Harassment, Discrimination and/or Reprisal, unless such a Report has already been submitted by an individual. If a member of Human Resources is involved in the incidents at issue, then the Report should be submitted to UOIT General Counsel.
49. After filing an incident report, an Employee with ongoing concerns regarding Workplace Violence, Discrimination, Harassment and/or Reprisal should consult with a supervisor or manager ("Persons of Authority"). All such Persons of Authority must seek guidance from Human Resources in attempting to address and resolve concerns relating to Workplace Violence, Discrimination, Harassment and/or Reprisal in the workplace. If an Employee's supervisor or manager is allegedly involved in Workplace Violence, Discrimination, Harassment and/or Reprisal, then the Employee's concerns should be raised directly with Human Resources. However, if the allegation of Workplace Violence, Discrimination, Harassment and/or Reprisal involves a member of the Human Resources team, then the Employee's concerns should be raised directly with UOIT General Counsel. When Human Resources or UOIT General Counsel is approached by an individual seeking to submit a Report, Human Resources or UOIT General Counsel will advise that information about a Report will be kept

confidential except to the extent that UOIT is legally required to investigate and/or disclose information, in which case information may be shared only on a need-to-know basis.

50. All Reports will be submitted in the format prescribed by Human Resources (website here; Appendix X), with the ability to attach additional pages if needed.

Step 2 - Interim Measures

51. Upon receiving a Report, Human Resources or UOIT General Counsel will immediately determine whether interim measures are necessary, considering the severity of the allegations, and the potential risks to UOIT Members. For example, an Employee may be placed on paid, administrative leave pending the outcome of an investigation, or may be required to refrain from interacting with the Complainant or other witnesses. Normally, a Complainant will not be required to interact with a Respondent during the Reporting Process or a related investigation.
52. Further interim measures will be implemented where reasonable and appropriate in the circumstances. As necessary, Human Resources or UOIT General Counsel will consult with others, such as the manager(s) of the Complainant and Respondent, and the Office of Campus Safety, on a confidential basis, to determine additional interim measures.

Step 3 - Establishing the Process & Investigation

53. Human Resources will review the Report and determine if the conduct alleged in the Report would amount to Workplace Violence, Discrimination, Harassment and/or Reprisal. This determination will be based on an assumption that all of the alleged facts were true. If the allegations set out in the Report would not, if true, amount to Workplace Violence, Discrimination, Harassment and/or Reprisal, Human Resources or UOIT General Counsel will respond to the individual submitting the Report in writing, usually within 60 days, advising that the Report has been reviewed, and that the information provided does not support an allegation of Workplace Violence, Discrimination, Harassment and/or Reprisal under the *Policy Against Violence, Harassment and Discrimination in the Workplace*. The Employee submitting the Report will also be advised that Human Resources may reconsider the Report if additional and significant information is provided. If there is another process or resource at the University that would be more appropriate for the subject matter of the Report, the individual will be advised of this alternative process.
54. If, on the other hand, the information provided would, assuming the alleged facts were true, support a finding that Workplace Violence, Discrimination, Harassment and/or Reprisal had occurred, an investigation will be conducted. An investigation may include written submissions or witness interviews, depending upon the severity of the allegations.

55. When an investigation is to be conducted, Human Resources or UOIT General Counsel will establish an investigation process that is appropriate in the circumstances. This process will be summarized in written form and distributed to the Complainant and Respondent. This document will also define the scope of the investigation. At this stage, consideration will be given to whether the investigation will be conducted internally or externally. An investigation will not be conducted by an individual who was directly involved in the events in issue, or by an individual who has an individual interest in the outcome of the investigation. Under no circumstances will an individual be involved in an investigation (other than as a witness) if that individual's involvement would give rise to a conflict of interest or a perception of a conflict of interest. Human Resources or UOIT General Counsel will review the collective agreement(s) of any individuals involved in the Report, and will ensure the procedural rights granted to those individuals under their respective collective agreements are maintained.
56. Human Resources or UOIT General Counsel will ensure the Employees involved in an investigation, and their respective bargaining agent(s), where applicable, are informed of the investigation process that will be adopted in each particular case. At a minimum, any investigation will provide a reasonable opportunity for the parties to understand the allegations, and to submit relevant information.

Step 4 - Determination & Corrective Action

57. The investigator will be charged with determining whether Workplace Violence, Discrimination, Harassment and/or Reprisal has occurred. Human Resources or UOIT General Counsel will ensure that the results of the investigation are brought to the attention of, and reviewed by, the appropriate Person(s) of Authority. Human Resources will advise the Person(s) of Authority with respect to appropriate corrective measures, if any, to be taken, including measures aimed at preventing Reprisal, where appropriate.
58. Where an Employee is found to have engaged in acts of Workplace Violence, Harassment, Discrimination and/or Reprisal, corrective measures may include non-disciplinary actions (*e.g.* education) or disciplinary measures (*e.g.* a written reprimand, a suspension or termination). Human Resources or UOIT General Counsel will ensure such reasonable steps are taken to prevent a recurrence.
59. Employees that are members of a bargaining unit shall have any corrective measure(s) imposed in accordance with applicable collective agreement requirements.
60. At the conclusion of an investigation, Human Resources or UOIT General Counsel will ensure that any Employee who was alleged to have experienced Workplace Violence, Discrimination, Harassment and/or Reprisal, and any Respondent Employee(s), are informed, in writing, of the outcome of the investigation, and the corrective actions

taken. Human Resources will ensure that such information is provided in accordance with the procedural requirements of any relevant collective agreement and any applicable laws.

RELEVANT LEGISLATION

61. Occupational Health and Safety Act, R.S.O. 1990, c O.1, as amended

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

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

RELATED POLICIES, PROCEDURES AND DOCUMENTS

62. Academic Staff Employment Policies

Access to Information and Protection of Privacy Policy

Emergency Management Plan and Procedures

Fair Processes Policy

Non-Academic Staff Policies

Policy Against Violence, Harassment and Discrimination in the Workplace

Policy to Prevent and Respond to Sexual Violence for Students

Procedures for Responding to Incidents of Sexual Violence

Records Management Policy

UOIT Joint Health and Safety Committee Terms of Reference

UOIT Occupational Health and Safety Management System

UOIT Student Conduct Policy

UOIT-Durham College Threat Assessment Procedures

Work Refusal Procedures

Workplace Violence Incident Report

END NOTES

63. This Procedure supersedes the Harassment and Discrimination Procedures (LCG 1105.01), November 2004 and Workplace Violence Procedures (LCG 1112.01), January 2014



BOARD REPORT

Action Required:

Non-Public:
 Public :

Discussion
 Decision

TO: Board of Governors

DATE: December 7, 2016

FROM: Deborah Saucier, Provost and Vice-President Academic

SUBJECT: DCPD Statement of Investment Policies and Procedures

A. Purpose

We are seeking the Board of Governors' approval of the amended Statement of Investment Policies and Procedures for the University of Ontario Institute of Technology — Registered Pension Plan (UOIT SIPP).

B. Background/Context

Due to a change in the regulations governing Ontario registered pension plans effective January 1, 2016, administrators of Ontario registered pension plans must file their Statement of Investment Policies and Procedures (SIPP) and SIPP amendments with the Financial Services Commission of Ontario (FSCO).

The UOIT SIPP has recently been amended to introduce a CC&L fund and remove the Black Rock S&P/TSX Composite Index Fund due to poor performance. The amendment has been vetted by Mercer, our pension investment consultant, and must be filed with FSCO. A copy of the amended SIPP is attached for your review.

Since last year was the first year the University was required to file this document, it was approved by the Board in November 2015 after proceeding through the pension governance framework path.

The Governance, Nominations and Human Resources Committee recommended the amended UOIT SIPP for approval by the Board of Governors at the Committee meeting on November 23, 2016.

C. Discussion

We are seeking the Board of Governors' approval of the following motion:

That pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the amended Statement of Investment Policies and Procedures for the University of Ontario Institute of Technology — Registered Pension Plan (SIPP), as presented, and authorizes the filing of the amended SIPP with the Financial Services Commission of Ontario. The Chief Financial Officer of the University is authorized to sign and file all related documents with the applicable federal and provincial regulatory authorities.

Statement of Investment Policies and Procedures

University of Ontario Institute of Technology—Registered Pension Plan

September 19, 2016

APPROVED on this ____ day of _____, 2016

University of Ontario Institute of Technology

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Section 1- Definitions

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

1.01 Board of Governors

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

1.02 Custodian

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

1.03 Custodian Agreement

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

1.04 Earnings

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

1.05 Employee

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

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

1.06 Income Tax Act

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

1.07 Member

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

1.08 Pension Benefits Act

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

1.09 Pension Fund

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

1.10 Plan

“Plan” means the University of Ontario Institute of Technology Pension Plan as set out in the plan text and is amended from time to time.

1.11 University

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

Section 2—Overview

2.01 Purpose

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

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

2.02 Description of the Plan

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

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

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

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

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

2.03 Plan Profile

(a) Contributions

Member Contributions

(2) Required Contributions

A member shall contribute 3% of his or her earnings to the Plan.

(3) Additional Voluntary Contributions

A member may contribute to the Plan additional voluntary contributions up to an additional 3% of his or her earnings in increments of 1%.

University Contributions

(1) Basic Contributions

The University shall contribute an amount equal to 6% of each member’s earnings.

(2) *Supplemental Contributions*

The University shall contribute an additional amount up to 2% of a member's earnings, in increments of ½%, in accordance with the member's election.

Maximum Contributions

(1) *Total Contributions*

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

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

(2) *University Contributions*

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

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

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

(b) Withdrawals

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

(c) Benefits

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

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

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

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

(d) Liabilities

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

2.04 Purpose of the Plan

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

2.05 Administration

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

Section 3—Governance Framework

3.01 Delegation of Responsibilities

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

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

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

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

3.02 The Board of Governors

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

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

3.03 Committees of the Board

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

3.04 Senior Administration Sub-Committee (SASC)

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

3.05 Pension and Benefits (P&B) Committee

The Pension & Benefits Committee serves in an advisory capacity with respect to the Plan. The mandate of the P&B Committee includes oversight with respect to the administration, communication and investment management of the Plan. This includes the ability to make recommendations to SASC to amend and interpret the provisions of the Plan.

Section 4—Investment Options and Diversification Policy

4.01 Investment and Risk Philosophy

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

4.02 Expected Volatility

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

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

Asset Class	Benchmark
GIC	n/a
Money Market	100% FTSE TMX Canada 91-Day T-Bill Index
Fixed-Income	100% FTSE TMX Canada Universe Bond Index
Target Date	As per the benchmark established by the investment manager
Canadian Equity	100% S&P/TSX Composite Index
U.S. Equity	100% S&P 500 Index (C\$)
International Equity	100% MSCI EAFE Index (C\$)
Global Equity	100% MSCI World Index (C\$)

4.03 Selection of Investment Funds

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

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

4.04 Number and Diversity of Investment Options

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

4.05 Responsible Investing

The University believes that the consideration of environmental, social and governance (ESG) factors with respect to responsible investing are an important factor in offering an array of investment options to Plan members. The consideration of ESGs factors supports the Plan member's ability to determine his or her own investment mix from a range of diversified styles and objectives.

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

Section 5—Permitted and Prohibited Investments

5.01 General Guidelines

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

5.02 Permitted and Prohibited Investments

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

5.03 Prior Notice Required

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

5.04 Securities Lending

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

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

5.05 Borrowing

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

Section 6—Monitoring and Control

6.01 Monitoring of Investment Options

(a) Generally

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

(b) Performance Monitoring

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

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

Fund Option	Benchmark	4-Year Annualized Benchmark Objective
MFS Responsible Global Research Fund	MSCI All Country World Net of Dividend Withholding Taxes Index (C\$)	+ 1.00%
BlackRock Universe Bond Index Fund	FTSE TMX Canada Universe Bond Index	+/- 0.20%
Sun Life Money Market Fund	FTSE TMX Canada 91-Day T-Bill Index	+ 0.00%

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

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

6.02 Replacement of Investment Funds

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

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

Section 7—Member Rights and Responsibilities

7.01 General

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

7.02 Investment Decisions

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

7.03 Failure to Make an Investment Decision

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

Section 8—General Provisions

8.01 Employee Communication

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

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

8.02 Conflicts of Interest

(a) Responsibilities

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

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

(b) Disclosure

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

8.03 Related Party Transactions

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

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

8.04 Standard of Care

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

8.05 Voting Rights

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

8.06 Co-Ordination with Registered Plan Documents

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

8.07 Policy Review

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

8.08 Plan Expenses and Investment Fees

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



BOARD REPORT

Action Required:

Public:
Non-Public:

Discussion
Decision

TO: Board of Governors

DATE: December 7, 2016

FROM: Valarie Wafer, Chair of Strategy and Planning Committee

SUBJECT: Amendments to Policy on Naming of Physical University Assets

A. Purpose

We are seeking the Board’s approval of the attached amended Policy on Naming of Physical University Assets.

B. Background/Context

As a result of the merger of the Advancement and Strategy & Planning Committees in 2015, the Policy on Naming of Physical University Assets requires updating in order to reflect the name of the combined committee. Further, in the case of philanthropic donations, the percentage of the pledged amount required to be received by the university before formal recognition will commence is increased from 20 percent to 35 - 50 percent. This amendment has been made to reflect the philanthropic sector’s best practice.

C. Request

We are requesting the Board’s approval of the following motion:

That pursuant to the recommendation of the Strategy and Planning Committee, the Board of Governors hereby approves the amended Policy on Naming of Physical University Assets, as presented.



Approved by	UOIT Board of Governors
Last approved	June 16, 2011

POLICY ON NAMING OF PHYSICAL UNIVERSITY ASSETS

I. PURPOSE

The naming of a physical asset at UOIT is one of the ways in which the university can pay tribute to and recognize the generous philanthropic donations and distinguished service contributions that have been made by individuals and organizations. A named physical asset reflects the values and ideals that guide the university's work, strengthens its ties with the local, provincial and broader national and international communities, and serves as an inspiration to present and future generations of students, faculty, staff and the wider public. At the same time, the number of individuals and groups who would warrant consideration of this honour far exceeds the opportunities available. Therefore, it is incumbent on the university to assess each naming opportunity in a judicious and consistent manner, and in a way that serves the strategic goals and longer term interests of the community. The policy on the Naming of Physical University Assets is designed to define the principles and criteria that would lead to the naming of university assets and the procedures associated with this important activity.

II. POLICY

UOIT values and recognizes individuals who have made distinguished contributions to the intellectual, social and cultural life of the university and the broader community, as well as those who make possible, through generous philanthropic donations, the construction and renewal of buildings, facilities, and property, and the acquisition of artefacts. By the granting of named recognition, the university can acknowledge these significant contributions in a way that is meaningful and enduring.

Naming recognition would normally be granted to honour a significant gift from a benefactor or to individuals or groups in order to commemorate exceptional contributions they have made to the university or broader communities. Each naming opportunity must be carefully assessed on its merits and be found to:

- Contribute to the special mission, mandate, and strategic priorities of the university while preserving its autonomy, integrity and academic freedoms;
- Serve to advance the interests of the university, its programs and activities, and have a positive impact on its reputation and profile over the longer term; and
- Be consistent with the UOIT Gift Acceptance policy and other relevant policies, procedures and agreements of the university.

Named recognition may be granted in perpetuity or for a limited period of time (time-restricted). If the named recognition is time-restricted, the arrangements may be reviewed prior to the end of that period, and renewed at the university's discretion.

Named recognition may be granted to UOIT faculty and staff for philanthropic donations; however, in all but exceptional circumstances, naming recognition would not be granted to a UOIT faculty or staff for outstanding service while he/she remains an employee of the university.

Regardless of any other provision set forth in this policy, no naming will be approved or, once approved, be continued if it is found that such action may harm the reputation of the university or interfere with the achievement of its goals and priorities. In addition, no name will be approved that will imply the university's endorsement of a partisan political or ideological position or of a commercial product. This does not preclude the naming of an individual who has previously held public office or with an individual or company that manufactures or distributes commercial products.

III. SCOPE

This policy applies to the granting of named recognition to physical assets at the university, including:

- Buildings, complexes of buildings, or substantial parts of buildings (wings, rooms, laboratories);
- Facilities that are part of the outside environment of the university, including roads, walkways, playing fields, parks, gardens, agricultural or forestry plots, etc.;
- Facilities that are part of inside space, including library/reading rooms, laboratories, seminar rooms, galleries, recreational courts, lounges, etc.;
- Facilities that are made up of portable items, including library collections, collections of works of art and/or artefacts;
- Memorial or tribute indicators, which include plaques, medallions or other markers usually in association with such features as trees, benches or small monuments; and
- Any other physical asset as the university may from time to time see fit to name in order to recognize philanthropic donations or service contributions.

Naming recognition associated with the establishment and allocation of endowed chairs, professorships and lectureships, student awards and scholarships, and faculties, institutes, and programs are guided by separate policies and procedures.

IV. AUTHORITY

The UOIT Board of Governors shall have ultimate authority to accept or decline any proposal to name a physical asset, to renew, withdraw or discontinue a designated name, or to transfer a name to another physical university asset as appropriate. The Strategy and Planning Committee

of the Board shall have delegated authority for carrying out this responsibility on its behalf, and for identifying naming opportunities, establishing and reviewing naming thresholds for assets, and for ensuring that the application of this policy and associated procedures with respect to donor recognition are consistently and appropriately applied.

In accordance with this policy, no university officer, faculty or department is authorized to name or affix a title, plaque, inscription or other signage to any UOIT physical asset without prior approval of the Strategy and Planning Committee. New buildings, facilities and properties will be named by their street address, faculty or primary function until such time as a naming opportunity is available in consultation with the director, Communications and Marketing.

A database of all naming opportunities and an inventory of named facilities shall be maintained and updated by the Advancement Office. The database will be developed in consultation with the vice-presidents and faculty deans. Assets will be reviewed annually and reconfirmed by the Strategy and Planning Committee of the Board annually.

V. PROCEDURES

a. Proposals

Individuals contemplating a naming opportunity are to consult the vice-president, External Relations and Advancement for information and expertise. The vice-president, External Relations and Advancement will consult with the Office of the Board of Governors regarding all proposed naming opportunities.

Proposals should be forwarded to the vice-president, External Relations and Advancement who shall make an initial determination, in consultation with the provost and vice-president Academic, as to whether the proposed naming conforms to this policy and any other agreements that may be in place concerning specific spaces, is otherwise appropriate, and is of sufficient merit.

Proposals for named recognition shall be made in writing to the Board of Governors through the Advancement Office. Proposals must be accompanied by a brief statement that summarizes the significant features of the proposed naming designation, the ways in which it would contribute to the mission, mandate, and strategic priorities of the university, and the continuing impact it will have on the university.

b. Approval

The naming of buildings, substantial parts of buildings or large exterior spaces shall be approved by the Board of Governors. Such approval will ordinarily be given on behalf of the Board of Governors by the Strategy and Planning Committee of the Board. Prior to the consideration of naming proposals by this committee, notice will be sent on a confidential basis to all Governors, in order to enable any member to comment. Comments will be considered by the Strategy and Planning Committee and the Chair of the Board of Governors will have the authority to require that any proposal whose propriety has been objected to by a member be deferred to the next meeting of the Board of Governors.

All other named recognition approved by the Strategy and Planning Committee of the Board or by the president will be reported to the Board of Governors for information purposes.

The vice-president, External Relations and Advancement, in accordance with this policy, the Gift Acceptance policy and in consultation with the president and the provost and vice-president, Academic, may approve the names of all other things such as individual rooms and smaller interior spaces.

Named recognition may be granted by title-naming or support-naming. In title-naming, the honorary name shall precede the functional name of an item (e.g., the John Smith Auditorium). In support-naming the honorary name succeeds the functional name of an item (e.g., Classroom generously supported by John Smith).

If the circumstances under which the named facility or object are subsequently altered in a substantial way (e.g., due to new construction or a change in purpose or focus), the Board Strategy and Planning Committee will identify an alternative opportunity that respects and honours the original intent of the gift, in consultation with the subject where possible.

In the case of philanthropic donations, formal recognition will commence once 35 to 50 per cent of the pledged amount has been received by the university.

All physical displays which accompany the named recognition must conform to existing procedures and practices with respect to physical plant signage (i.e. office name/room number/classroom signage). Under no circumstances will external corporate or organizational logos be permitted on any recognition signage.

c. Fundraising

In the establishment of objectives for a fundraising campaign, naming opportunities and the associated levels of support may be established in advance by the Advancement Office in consultation with university officers, faculties and departments. These opportunities will be reviewed by the Strategy and Planning Committee of the Board and may be used to advise potential benefactors that the support will be recognized by naming, subject to approvals and decisions being consistent with this policy.

All naming proposals must be discussed with the stewardship officer prior to being disseminated to potential benefactors, or entered in a gift agreement, to ensure that the naming opportunity is available and at an appropriate recognition level for the proposed donation.

In all such cases, individuals representing the university will make clear to potential benefactors that naming is subject to the following;

- i. The proposal to name must be approved according to the university's established criteria and process.
- ii. Where the support does not meet the full cost of the project, the naming is subject to completion of satisfactory funding arrangements, and the naming will take place only

after that is achieved. If the university is unable to proceed, the potential benefactors will be entitled to redirect or withdraw their contributions.

d. Non-fulfillment of pledge

In cases where the donor does not meet the requirements as set out in the gift agreement, such as defaulting on the payment of pledges over a five-year period, the naming opportunity may be withdrawn. A new opportunity, equaling a value of the total amount received over the pledge period, will be provided in lieu of the original naming opportunity. This shall be done in consultation with the Strategy and Planning Committee of the Board and the president, and in cases of a building, shall be done in consultation with the Board of Governors.

VI. RENEWAL DATE

January 2015



**BOARD OF GOVERNORS
AUDIT & FINANCE COMMITTEE**

**MINUTES OF THE MEETING OF OCTOBER 5, 2016
4:20 p.m. to 6:00 p.m., ERC 3023
PUBLIC SESSION**

Attendees: Miles Goacher (Chair), Nigel Allen, Jeremy Bradbury, Adele Imrie, Tim McTiernan

Staff: Kay Ali, Becky Dinwoodie, Craig Elliott, Cheryl Foy, Brad Maclsaac, Susan McGovern, Pamela Onsiong, Michael Owen, Deborah Saucier, Christine White-Yeung

Regrets: Doug Allingham, Mary Simpson, Laurie Swami

Guests: Mikael Eklund

1. Call to Order

The Chair called the meeting to order at 4:20 p.m.

2. Agenda

The Agenda was approved as presented.

3. Conflict of Interest Declaration

There were none.

4. Approval of Minutes of Meeting of June 20, 2016

Upon a motion duly made by T. McTiernan and seconded by J. Bradbury, the Minutes were approved as presented.

5. Chair's Remarks

The Chair welcomed the Committee to the start of another new Board year. He expressed his appreciation for everyone's time commitment to the Committee. He noted that the SIRC building construction is a critical project that will be reviewed quarterly. He encouraged the members to

engage in discussion and acknowledged the expertise around the table. He also welcomed suggestions for the Committee reports.

The Chair advised that the initial SIRC building project presentation focuses on processes and he would be seeking the Committee's input on what information would be helpful going forward. He also noted that the financial reports have a new format – they have been simplified and are more intuitive and strategic. They also contain some MTCU reporting requirements.

6. Finance

6.1 First Quarter Financial Reports

C. Elliott discussed the redesigned financial reports package. He reiterated that the goal was for the reports to be more intuitive with a strategic focus. The reports focus on forward-looking data, with an emphasis on key financial drivers. They also contain a comparison of UOIT's financial health to that of other institutions.

(M. Eklund joined the meeting at 4:25 p.m.)

C. Elliott introduced P. Onsiong to discuss the financials. P. Onsiong walked the Committee through the changes to the format of the statements. She advised that the University's cash and short-term investments continue to improve, as well as the University's debt position. The Committee members commented that the notes included in the financials are really helpful.

P. Onsiong reviewed the financials with the Committee. She noted the 6% increase in revenue over last year, as well as an increase in unrealized gains on investments. She explained that universities are required to report on their financial health for the first time this year and she provided an overview of the results. She confirmed that the metrics are calculated on a GAAP basis and are taken from the GAAP financials. With respect to the income to loss ratios, UOIT continues to show positive performance ratios over the years and is doing much better than other universities of the same size in Ontario. There was a discussion regarding the comparator group. It was suggested that seeing the range in addition to the average would be helpful.

P. Onsiong continued to review the financial metrics with the Committee. She clarified that the University does have the opportunity to comment on the metrics when submitted to the Ministry.

The sample 2016-2017 operating forecast was also reviewed. It is more narrative in nature, the line by line explanations have been removed, and it incorporates input from all divisions.

P. Onsiong clarified that as we receive donations as part of the campaign, they will be reflected in the financials.

There was a discussion regarding the acquisition of the moving ground plane. The project team is currently working on the funding requirements to install the moving ground plane (MGP). M.

Owen confirmed that our industry partners are cooperating with the plans for installation and that the MGP be stored at a Multimatic facility.

P. Onsiang reviewed UOIT's cash position. The Committee inquired about the funds available through the lines of credit. P. Onsiang reviewed the main assumptions in the forecast. C. Elliott explained the forecasted enrolment numbers taking into account the opening of the new building. He also made some clarifications regarding the planned contingencies.

6.2 Enrolment

B. Maclsaac presented the Day 8 enrolment numbers. He advised that we have more students coming in with an average greater than 85%. Accordingly, additional funds will be required for scholarships due to the higher entrance averages. He remarked that they were hoping to have 40 domestic PhD students and there are only 18. He explained the reasons behind the differential. He informed the Committee that the new Dean of Graduate Studies introduced a new scholarship package and changed the criteria for awarding scholarships. He noted that the numbers being presented are headcounts.

B. Maclsaac discussed the success of the mechatronics program intake. He advised that they monitor programs with low enrolment. He responded to a question regarding whether the slight decreases in mechanical and electrical engineering are due to the introduction of the mechatronics program. He explained that these were actually planned reductions. It was suggested that it would be helpful to see 2 year rolling numbers for Masters enrolment and 4 year rolling numbers for PhD enrolment to see the trends.

6.3 Banner Payroll Project

C. White-Yeung delivered a presentation entitled "Banner Payroll Update". She advised the Committee that they are hoping to consolidate the group benefits and pension with the SunLife system. She confirmed that the use of time sheets has been completely eliminated. She reviewed the progress made in the project so far, as well as the outcomes achieved. Pay statements are now available online through the UOIT My Campus website. She presented the next steps in the project. She was pleased to report that everyone is now being paid out of Banner. A. Imrie commended the Finance Team for the implementation of the automated payroll system. C. Elliott explained the process, including the resources available for the project. He advised that temporary resources might be required to assist with the reconciliation. It has been a seamless transition to date.

6.4 Travel & Expense Management Project

K. Ali provided an update on the implementation of the Concur travel and expense management system. She confirmed that one of the main reasons for the automation of the process was to address end-user frustrations. She provided examples of the benefits of implementation of the system, including reducing the reimbursement cycle, mobile accessibility, and reduction of

duplication. She advised that, so far, the feedback on the implementation of the process has been mixed.

She provided the Committee with a status update on the project update. A website has been developed for travel and expense. She highlighted the reporting capability of the system. C. Elliott walked through the phased approach to the rollout. K. Ali provided an overview of the next steps in the project. The Chair commended the work done on the project.

7. Investment Committee Oversight

7.1 Investment Committee Quarterly Report

N. Allen delivered the Investment Committee's quarterly report. He advised that the returns were about 2.6% ahead of benchmark. The Canadian equity component of the portfolio performed well and the asset mix is consistent with benchmark. He reported that the Investment Committee had a presentation from PH&N at the last meeting discussing the impact of Brexit. Essentially, PH&N confirmed that the Canada did not feel much of the impact Brexit and it was felt primarily in the UK and EU.

8. Compliance & Policy

8.1 Risk Management

C. Foy provided a brief status update on the Risk Management project. She advised that there will be a presentation of the proposed metrics at a future meeting.

8.2 Compliance

C. Foy delivered a presentation providing the Committee with a compliance update. She advised that one of the items the Board asked her to address when joining was to develop a compliance plan. She confirmed that they are in the early stages of the compliance planning process. She explained that compliance data was gathered during the risk register development last year. Approximately 15% of risks on the register relate to compliance. The implementation of a compliance plan is constrained due to the availability of resources. She also provided a summary of ongoing compliance initiatives, highlighting the development of a new "Office of the University Secretary and General Counsel" website to provide online resources to assist the UOIT community and improve efficiency.

C. Foy noted an increasing in FIPPA requests year over year – there has been almost a tripling of time spent on access requests. Records management is a compliance initiative because it is required under FIPPA. The current focus of the records management project is on training users on how to use the policy instruments. She also provided an update on the number of contracts that have been entered into the database, as well as the types of contracts being entered. The use of the database will be expanding to other institutional areas.

8.3 Policy Against Violence, Sexual Violence, Harassment and Discrimination

C. Foy provided the Committee with an update on the development of the Policy Against Violence, Sexual Violence, Harassment and Discrimination. The policy team has been discussing the policy for over a year. It began as a suite of policies and the approach changed in the Spring. The new approach was brought to the Committee for feedback. The policy has been quite extensively consulted on and not all comments have been implemented as some of them were conflicting. C. Foy responded to questions from the Committee.

9. SIRC Building Construction Project

C. Ashby delivered the SIRC building construction project update. It was suggested that the update be discussed earlier at the next meeting. She advised that the parking lot project is complete, was on budget and is now in use. She presented photos of what has been completed so far.

C. Ashby provided an overview of site safety. She advised that there have been no safety incidents on site to date. C. Elliott showed the Committee the live feed to the construction project.

No unknown utilities or contaminated soils were found during the investigation of the site. C. Ashby went through the methods of progress monitoring and tracking, including the master project schedule and weekly schedule tracker. She confirmed that an independent third party (owner's advisor) has been hired to conduct site review. She explained the "change order" process, as well as reviewing the project key risks and the mitigations in place.

The Chair thanked the management team for all of their work.

10. Other Business

There was none.

11. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by N. Allen, the public session of the meeting terminated at 6:07 p.m.

Public Session Minutes for the Meeting of September 29, 2016
12:05 p.m. to 1:00 p.m., ERC 3023

Attendees: Karyn Brearley (Chair), Andrew Elrick (*via teleconference*), Tim McTiernan (*via teleconference*)

Staff: Robert Bailey, Becky Dinwoodie, Cheryl Foy, Susan McGovern, Michael Owen, Deborah Saucier

Regrets: Dan Borowec, Jay Lefton, Mike Snow

Guests: Miles Bowman, Christine McLaughlin (Faculty Association)

1. Call to Order

The Chair called the meeting to order at 12:06 p.m.

2. Agenda

Upon a motion duly made by T. McTiernan and seconded by A. Elrick, the Agenda was approved as presented.

3. Conflict of Interest Declaration

None.

4. Chair's Remarks

The Chair kept her remarks brief and noted the full agenda.

5. President's Remarks

The President remarked that in addition to the matters the Committee pays attention to internally as a matter of good governance, the agenda of this Committee will largely be driven by external policy and regulatory directives from the government. The issues to be addressed will include executive compensation and funding formula. The President reported on the recent meeting of the COU Executive Heads with the new Minister of Advanced Education and Skills Development.

The Chair noted that the Committee will have a lot of work ahead of it this year.

6. Governance

6.1 Policy Against Violence, Sexual Violence, Harassment & Discrimination

C. Foy acknowledged M. Bowman as being instrumental in the development of the policy. She reviewed the background of the policy and how it has evolved. There have been multiple discussions and redrafts. Given the ambitiousness of the policy, C. Foy anticipates that it will be reviewed after the first year of implementation to evaluate its effectiveness. The goal is to have all of the underlying pieces in place by January 1, 2017.

C. Foy noted that consultation for the policy has taken place over the past year, both formally and informally. Written submissions were received from the Faculty Association. She reviewed the consultation pathway and confirmed Academic Council approved the policy in principle. The updated version incorporates many of the suggested comments.

One last compliance review will take place before it comes forward to the Board. Compliance checklists have been developed for both pieces of legislation and the policy will be presented to the Board with an opinion.

The focus of the policy is on locations on campus, but it has left room for scope beyond the University (example of residences across the street). If it occurs off campus, the incident must have a “real and substantial” connection to the University for the policy to apply. The University has discretion to deal with situations that should be dealt with under the policy and that the community would expect the University to deal with.

There is an emphasis on providing support to individuals who have experienced violence, sexual violence, harassment, and discrimination. C. Foy described the challenges of providing support to individuals when it impacts another student on campus (example of an individual asking for the alleged perpetrator to not be in any of her/his classes). M. Bowman noted that it is not a punitive policy, but an engagement and educational policy. There was a discussion regarding what is included in “programming”. C. Foy confirmed that it includes a variety of approaches.

T. McTiernan emphasized the points made by C. Foy and M. Bowman, as well as the importance of being active instead of reactive. The policy will help foster a culture of care, safety, and respect on campus.

A. Elrick noted that trying to foresee and encompass many situations is possible; however, it is impossible to anticipate everything. The policy might require additional refinements during its implementation.

K. Brearley stated that she is satisfied that the community’s input has been heard.

Upon a motion duly made by T. McTiernan and seconded by A. Elrick, the Committee recommended the Policy Against Violence, Sexual Violence, Harassment and Discrimination for approval by the Board, subject to minor amendments.

7. Nominations

7.1 Board Recruitment Strategy

T. McTiernan introduced the topic by encouraging the Committee to pay attention to recruiting an inclusive and diverse Board. It is important for diversity to be addressed in our Board membership so it reflects the diversity of our University community. He also referred to the work of the Truth and Reconciliation Report. Additional indigenous participation in our governance structures will reflect our history.

C. Foy delivered a presentation on Board Recruitment Strategy. She reviewed the direction given in 2014-2015. She discussed the Board's direction to stagger terms, which has not yet been implemented and will be kept in mind for 2018. She asked the Committee to consider whether there are obvious skills gaps on the Board. Further, given the Board's strategy and focus over the next few years, are there skills and expertise the Committee thinks we need on the Board?

The Board confirmed that the additional occupation categories (e.g. "not for profit") should be added to the matrix.

With respect to competencies, S. McGovern discussed the success of our alumni and suggested reaching out to alumni to canvass potential candidates for the Board. The category of "alumni" should also be added to community connections. It was recommended to recirculate an updated version of the skills matrix to the Board members by the end of the year. K. Brearley will address this in her Chair's remarks at the next Board meeting and encourage referrals from Board members, keeping diversity and gender balance in mind.

K. Brearley discussed staggering terms. She also stated that the Committee should consider recruiting 3 members per year for 1, 2, and 3 year terms. T. McTiernan clarified that staggering was not done in the beginning, which has led to bulk departures. K. Brearley noted that it is probably best to stagger terms for upcoming renewals.

She asked the Committee if they want to change direction for the upcoming years. A. Elrick noted the challenges of trying to get a variety of areas reflected on the Board, turnover, and trying to recruit qualified people. K. Brearley noted that nothing jumped out at her as being a deficit under occupation. She also asked whether there are any areas in which T. McTiernan, C. Foy, and D. Saucier see a need. The Committee must focus on recruitment and should expect the process to take 6-10 months. K. Brearley stated that senior Board members (Chair and Vice-Chairs) should be leading the process and T. McTiernan's role is to support it. T. McTiernan noted that an area of specialty needed is tech services/apps. Work will be done on updating the language for the Board recruitment page to promote diversity.

Consideration will be given to advertising to community groups and in local newspapers. S. McGovern also suggested the Chamber of Commerce. We will return with a specific set of recommendations for targeted recruiting options.

8. Other Business

None.

9. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by A. Elrick, the meeting terminated at 12:56 p.m.

Becky Dinwoodie

DRAFT

**Public Session Minutes for the Meeting of August 10, 2016
1:25 p.m. to 2:30 p.m., ERC 3023**

Attendees: Nigel Allen (acting Chair), Adele Imrie (*via teleconference*), Glenna Raymond, John Speers

Staff: Becky Dinwoodie, Craig Elliott, Sue McGovern

Guests: Stephen Pitts and Peter Dawkins from PH&N

Regrets: Miles Goacher, Jonathan Hackett, Tim McTiernan

1. Call to Order

The Chair called the meeting to order at 1:28 p.m.

2. Agenda

Upon a motion duly made by J. Speers and seconded by A. Imrie, the Agenda was approved as presented.

3. Conflict of Interest Declaration

None.

4. Chair's Remarks

The Chair kept his remarks very brief.

5. Approval of Minutes of the Meeting of May 11, 2016

Upon a motion duly made by G. Raymond and seconded by J. Speers, the Minutes were approved as presented.

6. Investment Review

6.1 First Quarter Investment Review

The Chair welcomed S. Pitts and P. Dawkins to the meeting and invited them to present the first quarter investment review. S. Pitts reviewed the highlights of the second quarter. The portfolio demonstrated a strong performance across fixed income and equity markets. On the equity side, we continue to see strong performance by Canadian equities. We are starting to see recovery in the commodities and energy sectors. There was a return of 2.6%, which is roughly in-line with the benchmark. We have a good stock selection in the Canadian market for the energy sector.

P. Dawkins discussed the investment returns. There has been consistent outperformance over the past 5 years and since inception.

7. Investment Learning – Brexit Impact

P. Dawkins presented to the Committee on the impact of Brexit. He started by reminding the Committee that there are many geopolitical influences on the global economy. While Brexit is a big event, there are also many other geopolitical events at play.

P. Dawkins provided a summary of the history of referendums to leave the UK, Scotland and Quebec. He also provided an overview of the Brexit vote, including examining the reasons for leaving and the next steps. A significant amount of work must be done to accomplish Britain's exit. He advised that the immediate reaction was negative and things seemed to settle afterwards. The financial markets had a tempered reaction.

The biggest impact was that the vote to leave was not anticipated by the markets - the prior indicators were wrong, which resulted in a sharp sell off in equities. The sell-off lasted approximately 48 hours and then bounced back over the next few weeks. Almost everything except the pound has recovered.

The biggest impact was felt in the European markets and much of it was due to the uncertainty around the sustainability of the EU in general.

S. Pitts reviewed the performance of the global equity markets and the financial conditions post-Brexit. The markets have returned to a sense of normalcy. There has not been the tightening of financial conditions that could have been associated with the outcome. The EU will likely negotiate fairly hard with the U.K. He also reviewed the economic fallout from Brexit. In the short term, there is uncertainty, restrained business investment within UK, and a 50% chance of recession. In the longer term, they anticipate there will be an approximate 2% decline in the UK GDP over the next 5-10 year period.

Peripheral European Banks continue to see high levels of non-performing loans. Italy has become a concern. Under EU rules, it is difficult for a government to bailout the banks. He also reviewed global

trade and corporate profits – global trade is in contraction and there has been a global earnings slowdown.

U.S. recession typically occurs about a year after the government starts to raise interest rates. Since rates raised last week, there is a possibility of recession in mid 2017.

Slow global growth is driven by 3 types of factors:

1. Structural: demographics, EM deceleration, less globalization, high debt
2. Crisis-induced: less business investment, skill decay
3. Recent shocks: tighter financial conditions, high policy uncertainty, Brexit

The UOIT portfolio is well-positioned to face these as it is diversified across Canadian and global equities.

There was a brief discussion as to the possible reasons why manufacturing is improving. There was also a discussion regarding the benefits of Germany's involvement in the European Union.

8. Other Business

None.

9. Termination

Upon a motion duly made by G. Raymond and seconded by J. Speers, the Chair terminated the meeting at 2:15 p.m.

Becky Dinwoodie, Secretary



**BOARD OF GOVERNORS
Strategy & Planning Committee**

**Minutes for the Public Meeting of Thursday, September 22, 2016
1:40 to 3:30 p.m., ERC 3023**

Attendees: Valarie Wafer (Chair), Adele Imrie, Jay Lefton (*via teleconference*), Ololade Sanusi, John Speers, Mary Steele, Tim McTiernan

Staff: Becky Dinwoodie, Craig Elliott, Cheryl Foy, Susan McGovern, Michael Owen, Deborah Saucier

Guests: Mikael Eklund

Regrets: Don Duval, Glenna Raymond, Shirley Van Nuland

1. Call to Order

The Chair called the Meeting to order at 1:52 p.m.

2. Agenda

The Agenda was approved as presented.

3. Conflict of Interest Declaration

There were none.

4. Chair's Remarks

The Chair invited everyone to introduce themselves. She thanked the Committee and Senior Leadership Team for their support and confidence in her as she takes on the Chair role. The Committee will be receiving great presentations today, which will help lead UOIT through a challenging time. The Chair congratulated S. McGovern and her team for a fabulous event at Windfields Farm last week. It was very successful and the University received several donations at the end of the event. It exposed the students to some of the opportunities available and presented them with an opportunity to make connections. She also commented that the video played at the event was excellent and highlighted the Chancellor's warmth.

5. President's Remarks

The President noted the passing of W.P. Kinsella on the weekend, which is particularly sad in light of the President's remarks at the Field of Dreams event last week.

The President discussed the Ontario Universities' Fair taking place over the upcoming weekend. UOIT's participation at the Fair will introduce families and would-be students to the University's programs and initiatives. He commented on the remarkable energy exhibited at the Fair.

6. Key Ministry Initiatives: Strategic Mandate Agreement, Tuition Framework, Net Tuition, Funding Formula

Strategic Mandate Agreement

The President reminded the Committee that the University's Strategic Mandate Agreement (SMA) ends in 2017 and he anticipates starting the next round of negotiations sometime around November 2016. Last time the SMA was largely about graduate domestic funded spots and areas in which we thought we would see growth. The timeframe was very short last time and generic areas of growth were used in order to allow for flexibility. This time the government is looking for greater specificity. The government is clear that the SMA will drive certain aspects of funding, but less clear on what accounts for differentiation. The President is unsure of what the timeframe for completing the SMA will be this year.

Tuition Framework

The current tuition framework expires in May 2017 and we are still unsure of what will replace it. It is likely that university operation grants will not increase and that universities must rely on growth. COU is recommending a simple cap of 3%. This might work for some institutions quite well, as they may wish to alter some programs more than others.

Net Tuition & Student Access

Ontario has some of the strongest supports for students across the country. Changes related to student aid will impact us. The President explained how OSAP is currently tied to the price of a basic Arts degree and how this presents a challenge for UOIT as we have more students in engineering programs. In 2018, an institution will have to tell students how much OSAP they should expect to receive, bursaries, and scholarship eligibility right from the beginning. This will be challenging and will likely require us to set tuition sooner.

Funding Formula

The Ministry is committed to revamping the funding formula in an effort to simplify the model while recognizing differentiation across the institutions rather than allocating solely on enrolments. The Ministry may set corridor targets and as long as an institution falls within a certain percentage of the target, its funding will not change. . In addition to enrolment and differentiation a third stream would be for special purpose funding which all universities would receive a portion.

This will require us to think about which corridor would be most appropriate for the University. As a small institution, even a decrease of 100 students has a dramatic impact on our budget.

The President invited questions from the Committee. There was a discussion regarding the timing of the completion of the funding formula review. D. Saucier advised that the teams working on net tuition, SMA, and funding formula are being told to consider these matters independently. She explained that if the majority of students receive OSAP funding and require a student set-aside, even if tuition is increased, the University would not receive additional money as it would be returned through the set-aside.

There was a discussion regarding where UOIT's students come from compared to U of T's students. UOIT will benefit from the growth of Durham Region in the future.

7. Strategic Enrolment Management: Environmental/Competitive Scanning

B. Maclsaac delivered a presentation on UOIT Enrolment. He provided an overview of statistics for Ontario universities' applications and confirmations. He confirmed that for undergraduate students, the forecast is we will reach the target. He also provided a breakdown by program.

There was a discussion regarding graduate enrolment and the reasons as to why there are graduate spaces available. B. Maclsaac advised that a primary factor is the current vacant faculty positions including three CRCs. Additionally, the Dean of Graduate Studies has developed a new funding model, which has not yet been fully rolled out. The effect of the new model on enrolment should be reflected going forward. The Dean will also be talking to the Faculties regarding setting targets and sticking to them.

B. Maclsaac advised that UOIT has converted a high number of student applications to confirmations. If we get students to attend our open houses, we are more successful than other schools at translating their interest into acceptance. Although demographics are going down, there are more students coming. The Committee also discussed declining enrolment in the Faculty of Social Science and Humanities and how the enrolment can be stabilized and/or increased. B. Maclsaac directed the Committee to the enrolment dashboard that is available at: <http://uoit.ca/sites/oira/university-data/enrolment-dashboard/>.

It was noted that based on preliminary data the University's retention rate has fallen back down to 78%; but, we need to wait until November 1st to compare official figures. B. Maclsaac explained that one of the main factors for this is that as the grades for engineering acceptances increased, alternate acceptances were granted to physics and many of those students did not stay.

J. McKinley remarked that the enrolment numbers are a good news story as we are at targets for Day 10. D. Saucier advised that the retention issue will be brought back for discussion at a future meeting to allow for an opportunity to review the numbers and determine the nature of

the issues. B. MacIsaac advised that they normally do a November to November comparison for retention purposes.

D. Saucier delivered a presentation on Trends in Higher Education. She reviewed the STEEP (Social, Technology, Economic, Environmental, Political) approach. She presented the Committee with a summary of trends in each of these areas.

Social Trends:

D. Saucier discussed the social trends, which include an increased focus on diversity and equality in the workplace. Efforts should be made to ensure salaries are equitable across employee groups, particularly in traditionally “female” jobs. She also discussed evolving public attitudes toward the LGBTQ community. It is important to ensure our policies, practices and facilities are reflective of Canadian attitudes. She also provided an overview of the top organizational workplace trends and challenges around human talent. Education should be a priority for everyone at UOIT.

Technology Trends:

Consideration was given to faculty and online education, including how effective is our online strategy. We must examine how long it takes individuals to provide online services to students.

D. Saucier discussed the increasing use of social media. Industries and universities should pay attention to it. It is important to consider whether Facebook is still the arena or whether UOIT be focusing on the leading edge sites. Sending out multiple e-mails daily almost ensures the e-mails are ignored by students. Consideration must also be given to the reputational threat by the abuse of social media. We must distinguish between real and exaggerated threats.

Economic Trends:

D. Saucier provided an overview of economic trends. Some of the questions she explored were:

- How well do we deliver on our mission statements?
- Are we training staff to provide outstanding service?
- How well are we prepared for periods of extended resource constraint?
- What constitutes a living wage?
- Is our employee compensation package fair?
- How well do we use technology to enhance creativity and strategic planning?

Environmental Trends:

Research reveals millennials prefer open concept working spaces. UOIT must consider whether our spaces can be repurposed effectively and whether we have a strategic plan for parking. She

also discussed the impact of climate change and the consideration of designating “green districts”.

Political Trends

D. Saucier raised the question as to whether postsecondary institutions are losing ground to other governmental priorities.

D. Saucier emphasized that it is important for the Committee to be aware of all of the influencing factors even if they are not entirely within our control. It is important to consider the issues and chip away at them. A member added that it is also important to stay focused on the University’s mission and brand and how we want to move forward. Focusing on these priorities will make it easier to deal with noise. The University needs to think about these trends and begin planning.

It was suggested to bring this presentation to the Board. A member commented that many of these factors are generic to the world and there is probably already someone else working on these issues. We must focus on what we can control. Another member added that if we focus on the University’s reputation, we will be able to deal with a large number of the threats.

8. 2017-2022 Strategic Plan

D. Saucier presented the Strategic Plan to the Committee. It is important to identify who it is for and what it provides in terms of outputs and outcomes. She acknowledged the feedback received from the Board at the retreat and made amendments to ensure it is inclusive and focuses on what people get out of it.

There are nine main actions falling under the three main pillars.

Challenge – education pillar

- challenge to continue to develop
- engage in lifelong learning
- become better people by taking advantage of developmental opportunities

Innovate – research pillar

- use technology for best outcomes for students
- convert ideas into actions
- come up with better work processes
- doing better work frees up time to engage in more creative activities

Connect – relationship pillar

- universities are about people
- practice hands-on learning
- opportunity to fail in a risk managed situation

- build research partnerships with larger community
- form better relationships at work
- make university experience a transformative one

There was a discussion regarding how this fits with the SMA. There was a concern raised that the plan did not seem to incorporate college pathways. D. Saucier responded that pathways programs are implicit in the lifelong learning element. After much discussion, it was suggested to include a reference to our partnerships with other PSE institutions. . It was also suggested to incorporate diversity into the plan as opposed to access.

(B. Schmidt left the meeting at 3:34 p.m.)

It is important to ensure the Strategic Plan reflects what is important to UOIT, which includes connections with postsecondary institutions and diversity. B. Maclsaac confirmed he would look at how to include both of those elements into the plan.

M. Goacher commented that they did a good job on the Strategic Plan. It was requested that the mission, vision, and values of the University be presented together with the Strategic Plan at the Board level. There was a brief discussion as to whether the mission, vision, values need to be refreshed, as well. B. Maclsaac advised that the Board agreed to roll over the mission, vision and values and to focus on the Strategic Plan. Once the new SMA is finalized, it might be time to review UOIT's mission, vision and values.

Upon a motion duly made by M. Steele and seconded by A. Imrie, the Committee recommended the approval of the 2017-2022 Strategic Plan, subject to the minor amendments as discussed.

9. Other Business

None.

10. Termination

There being no other business and on a motion by T. McTiernan and seconded by M. Steele, the meeting was terminated at 3:44 p.m.

Becky Dinwoodie, Secretary