BOARD REPORT

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

TO: **Board of Governors**

DATE: **April 24, 2019**

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

SUBJECT: **2019-2020 Board Election**

COMMITTEE MANDATE:

- One of the GNHR's responsibilities under its Terms of Reference is to oversee the process of electing new governors & recommending their appointment to the Board, in accordance with the *UOIT Act* & By-laws.
- We are reporting on the election process & result of the 2019-2020 Board of Governors Election.
- We are recommending that the Board appoint the successful student governor candidate, Owen Davis.

BACKGROUND/CONTEXT & RATIONALE:

- The 2019-2020 Board of Governors Election took place from February 11 – February 25 in accordance with the Election Timeline that was approved by GNHR in January 2019.
- There was only 1 vacant position:
  - Student Governor
- Only one nomination for the role was received during the Nomination Period.
- The candidate's eligibility was confirmed.
- In accordance with section 4.7 of the Board of Governors Procedures for the Election of Faculty, Non-Academic Staff and Student Governors ("Election Procedures"), "*when the Nomination Period has closed, if the number of candidates nominated is equal or less than the Board positions available in a particular constituency, the candidates shall be acclaimed.*"

COMPLIANCE WITH POLICY/LEGISLATION:

- The election process complied with the Election Procedures.

NEXT STEPS:

1. The Office of the University Secretary and General Counsel will notify the candidate of the outcome of the Board's decision.
2. If approved, the incoming student governor will be invited to attend the public session of the Board's AGM in June.

MOTION FOR CONSIDERATION:

Pursuant to the recommendation of the Governance, Nominations and Human Resources Committee, the Board of Governors hereby approves the appointment of Owen Davis to the Board of Governors as the elected Student Governor for the term of September 1, 2019 until August 31, 2020.

SUPPORTING REFERENCE MATERIALS:

- Certificate of Chief Electoral Officer dated March 20, 2019

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
OFFICE OF THE UNIVERSITY SECRETARY AND GENERAL COUNSEL

March 20, 2019

Certificate of the Chief Electoral Officer – Board of Governors Election 2019-2020

As the Chief Electoral Officer for the Board of Governors elections for the University of Ontario Institute of Technology, it is my responsibility to oversee the conduct of elections within the established policies and procedures, in order to ensure the integrity and fairness of the election process.

My review of the election for the Board of Governors Student Governor takes into account the conduct of the election process, as well as any complaints received regarding conduct of candidates during the elections.

During this election, there were no complaints received regarding the conduct of candidates.

It is my opinion that the elections were contested fairly and in accordance with the *Board of Governors Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives.*

Based on the election result, I hereby certify to the Board of Governors that:

- Student member **Owen Davis** was eligible to run as a candidate and was properly acclaimed as the Student Governor on the Board of Governors for the term of September 1, 2019 to August 31, 2020.

Becky Dinwoodie
Chief Electoral Officer
Assistant University Secretary

2019-2020 Disbursement Recommendation

Ontario Tech University

Cumulative Investment Income Summary

Cumulative Net Endowed Earnings at Mar 31, 2018		$ 5,110,000
Earnings Apr-Dec, 2018		$ 633,000
Estimated Interest/Dividends Earned Jan-Mar, 2019		$ 40,000
Cumulative Est Net Endowed Earnings at Mar 31, 2019		$5,783,000
Less:	Est 2018-19 Disbursements	($ 621,000)
	Cumulative Capital Preservation	($2,620,000)
Cumulative Est Net Earnings Available For Disbursement		$2,542,000

Cumulative Investment Summary

Endowment Balance at Dec 31, 2017	$15,819,000
Current Year Donations to Dec 31, 2018	$ 698,000
Cumulative Earnings Less Distributions	$ 5,335,000
Unrealized gains	$ 3,534,000
Market Value of Endowment at Dec 31, 2018	$25,386,000
Est Income Jan-Mar, 2019	$ 40,000
Est Disbursement in Jan-Mar, 2019	($ 214,000)
Forecast Investment Balance at Mar 31, 2019	$25,212,000

Gift Agreement Requirements

- Endowed Awards can be specific dollar amounts, or could be expressed as a minimum and maximum amount.

- At our current investment level, we need to disburse between 3-4% of the principal value to cover our gift requirements.

Recommendation

- The Disbursement Committee met on Feb 5, 2019. Our investments have performed well over the last few years, however the current year performance has been flat – largely due to unrealized losses.
- Current cumulative earnings after capital preservations equals to $2,542K.
- The recommendation of the Disbursement Committee was to disburse to an average of 4% or up to $550,000 for 2019-20
- Following discussions by the Investment, Audit & Finance, and Strategy & Planning Committees of the Board, the recommendation is to disburse up to $600,000 from Endowment Funds for distribution as student awards for 2019-20.

Motion

- That pursuant to the recommendations of the Investment Committee, Audit & Finance Committee, and the Strategy & Planning Committee, the Board of Governors hereby approves the disbursement of up to $600,000 from Endowment Funds for distribution as student awards in 2019-20.

BOARD OF GOVERNORS' 110th REGULAR MEETING

Minutes of the Public Session of Thursday, February 28, 2019
55 Bond Street, DTB 524
Noon to 1:50 p.m.

DRAFT

GOVERNORS IN ATTENDANCE:
Doug Allingham, Board Chair
Nigel Allen, Chair of Audit & Finance Committee
Stephanie Chow, Chair of Investment Committee
Francis Garwe, Chair of Governance, Nominations & Human Resources Committee
Thorsten Koseck, Chair of Strategy & Planning Committee
Kevin Chan
Lisa Edgar
Laura Elliott
Ferdinand Jones
Kori Kingsbury (*via videoconference*)
Dale MacMillan
Mark Neville
Jessica Nguyen
Dietmar Reiner
Maria Saros
Trevin Stratton (*via videoconference*)
Jim Wilson
Lynne Zucker

REGRETS:
Liqun Cao
Noreen Taylor, Chancellor

BOARD SECRETARY:
Becky Dinwoodie, *Assistant University Secretary*

UOIT STAFF:
Robert Bailey, *Interim Provost & VP Academic*
Craig Elliott, *Chief Financial Officer*

Cheryl Foy, *University Secretary & General Counsel*
Barb Hamilton, *Legal Executive Assistant*
Doug Holdway, *Interim VP of Research, International and Innovation*
Andrea Kelly, *Assistant to the University Secretary & General Counsel*
Brad MacIsaac, *Assistant Vice-President, Planning and Analysis, and Registrar*
Susan McGovern, *VP External Relations & Advancement*
Rich Seres, *Executive Director, Communications & Marketing*

Guests:
Mike Eklund (*via teleconference*)

1. Call to Order
The Chair called the meeting to order at 12:03 p.m.

2. Agenda
The Chair noted a proposed amendment to agenda item 12.1 – a request has been made to provide a presentation on branding instead and the strategic discussion will be deferred until a later date.

Upon a motion duly made by T. Koseck and seconded by L. Elliott, the Agenda was approved, as amended.

3. Conflict of Interest Declaration
There were no conflict of interest declarations.

4. Chair's Remarks
The Chair welcomed the Board to the first full Board meeting of 2019. He thanked Matthew Mackenzie and B. Dinwoodie for coordinating the tour of ACE that morning. He commended John Komar, the Director of Engineering & Operations of Ace, for his passion for the facility. The Chair noted the wide breadth of the research being done at ACE and the unique experiential opportunities this provides for our students. The addition of the moving ground plane will expand upon the potential of ACE. The Board members echoed the Chair's comments about the tour and enthusiasm of J. Komar. The Board thoroughly enjoyed the tour and would like another tour arranged for later in the year.

The Chair congratulated the university's bargaining teams on reaching a tentative agreement the week before. This was an excellent result for the university. The Chair also reported on the CCOU Conference, which was held in November. Many governors attended and it was an excellent professional development opportunity. He encouraged all Board members to participate in next year's conference.

The Chair acknowledged the work of staff in developing the budget in the context of the tuition cuts. The university is focused on ensuring the student experience is not negatively affected by budget reductions.

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The Chair advised the Board of the joint meeting with the Durham College Board scheduled for May 9, 2019. He also reviewed several key donations received this year and acknowledged the work done by the Advancement Team.

(J. Wilson arrived at 12:20 p.m.)

5. President's Report

The President remarked that ACE is only one example of the many hidden gems of the university. He also commended the bargaining teams on their tireless efforts to arrive at a fair agreement. The President discussed recent events on campus, including the Ice Rink in Polonsky Commons. Recently, the new visual identity was introduced and they are receiving positive feedback. The university community's comments are being considered and adjustments are being made as a result. The new brand will enhance the ability to tell the university's stories. The President also discussed the strategic partnership with OCAD. They are exploring boot camp opportunities and opportunities for students to take classes at each institution.

The President discussed the domestic tuition cut of 10%, which will result in a $9M budget reduction for 2019-2020. During times of cuts, while some competitors put their heads down to ride them out, the university will have an opportunity to leap frog.

(K. Chan arrived at 12:32 p.m.)

The President reflected on his first year anniversary at the university. He shared that he has been welcomed with open arms and is impressed with the tremendous amount of support the university receives from the region. He expressed his appreciation for the support of the faculty, students, and staff. He also thanked the Board and Board Chair, in particular, for all of the support they have given him during his first year.

The President invited questions from the Board. T. Koseck commented on the timely communication from the university to the students regarding the collective bargaining outcome. There was also a discussion regarding the importance of partnerships and how the university's partnerships with industry were evident during the ACE tour. The President acknowledged the work being accomplished by the university's Partnership Office. A member remarked that she enjoys the regular communications from the university to the Board (e.g. budget video) and thanked the staff for facilitating this.

6. Academic Council Report

The President noted it has been a busy year for Academic Council (AC). He informed the Board that two new programs were recommended at the last AC meeting and will be coming forward for approval at the next Board meeting. He emphasized the commitment to bicameral governance. He discussed the work of the AC's new Governance and Nominations Committee (GNC). The GNC has begun reviewing the terms of reference for all of AC's standing committees. The addition of the GNC is allowing the governance of AC to evolve. He responded to questions from the Board. A suggestion was made that an interesting topic of discussion would be the evolution of libraries in the digital age. The President reminded the Board that the library is a joint resource of the university and DC.

7. Co-Populous Report

J. Wilson delivered the Co-Populous Report. On January 4, 2019, DC held an orientation session for almost 400 new international students. He also reported that several new programs were approved at the last Board meeting, including Autism and Behavioural Sciences and Sustainable Systems and Energy Audits. The DC Board also received a report on the 2017-2018 key performance indicators.

Committee Reports

8. Student Speaker

The Chair introduced Sinan Mohsin, one of our Bachelor of Commerce students. S. Mohsin is a co-founder and CEO of Snippt Inc., which is a mobile shopping app that is driven by videos. S. Mohsin delivered a presentation explaining the application and describing its unique market. Snippt was one of only two Canadian companies that participated in the K-Startup Grand Challenge in Korea. While there, their team also had the opportunity to appear on a Korean tv show. S. Mohsin discussed Snippt's short-term and long-term goals. Snippt will also be participating in the Rise tech conference in Hong Kong this year.

S. Mohsin responded to questions from the Board. He discussed the benefits of working with the Brilliant program at the university. With the help of Brilliant, he overcame his fear of public speaking. S. Mohsin would share this advice with other student entrepreneurs: "Keep taking chances". Only by taking chances were he and his team able to get to the next level. It is also important to learn the value of taking calculated risks. There was also a discussion regarding what the university could do to further help students. S. Mohsin commented that it is incredibly helpful for students to have access to tools, such as the Google Jamboard, and modular spaces at the university. S. Chow congratulated him on the success of Snippt.

9. Audit & Finance Committee Report (A&F)

N. Allen delivered the A&F report.

Finance

9.1 Third Quarter Financial Reports

N. Allen thanked the committee and staff for all of their hard work. He noted the university is dealing with a particularly challenging time in light of the tuition cuts and commended them for reacting swiftly to the changes. The university's balance sheet continues to be stable. There is $40M in AR, which includes winter term tuition fees that were not collectible until January 2019. The university has collected $34M since the end of 2018. The university continues to repay its long-term debt. The current forecasted operating surplus for the end of the fiscal year is $4.7M. Following the government's announcement of tuition cuts in January, budget holders identified a savings of approximately $1M in expenses. There is also a forecast net savings of $2.8M in vacant positions. The forecast will be updated with new assumptions and presented to the committee at the next meeting. C. Elliott responded to questions from the Board.

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9.2 2019-2020 Budget

At the last meeting, A&F received an updated presentation on the 2019-2020 budget process. The tuition cuts will reduce revenue by $9M in 2019/20 and $12M in 2020/21. Budget development is being guided by the university's priorities and values, also keeping in mind the strategic priorities. The senior leadership team continues to focus on providing an excellent learning environment and student experience. The university is committed to minimizing the impact of budget challenges on people by finding efficiencies and doing things differently. There is also a continued commitment to communication. Strategic cuts are being implemented as opposed to across the board reductions. C. Elliott responded to questions and advised that projects put on hold will be revisited as revenue increases.

9.3 2019-2020 Tuition Fees

N. Allen noted that an updated schedule of tuition fees was distributed to the Board immediately prior to the meeting. The recommended tuition fees include strategic increases to international tuition. The recommended fees allow the university to remain at or below the Ontario median fees for all programs and levels. While tuition is being increased for graduate students, it is often given back through scholarships. B. MacIsaac responded to questions. He provided a brief overview of the Ministry's tuition framework. He discussed the reasons for lower international student enrolment at the university. He also clarified that the cost of tuition is not the determining factor of enrolment levels.

Upon a motion duly made by N. Allen and seconded by L. Elliott, pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors approved the 2019-2020 tuition fees, as presented.

9.4 Revised 2019-2020 Ancillary Fees

After years of no fee increases, the committee is recommending an inflation increase for 2019-20. The Ministry has verbally released new requirements on mandatory and optional ancillary fees. Based on the technical briefings to date, it is believed that all of the university administrative fees will be classified as mandatory and that the fees the university collects on behalf of the Student Union will be optional. The Board is being asked to approve maximum amounts, but management is working with the Student Union on creating a breakdown of funds to provide additional clarity for students. The breakdown will be brought back to the Board for information. Further, the university is working with the Student Union to educate students about the associated benefits of ancillary fees.

B. MacIsaac responded to governors' questions. He explained the difference between our ancillary fees and those of other institutions. The university's ancillary fees include the TELE software costs for students. There has been a reduction in ancillary fees for programs that are no longer in the traditional TELE program and have switched to the TELE-BYOD program.

Upon a motion duly made by N. Allen and seconded by D. Reiner, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the 2019-20 student

ancillary fees, as presented.

Project Updates

9.5 New Building

A&F also received an update on the new building project. At the November Board meeting, the Board approved proceeding with prep work for the new building and directed that the final negotiated guaranteed maximum price (GMP) be presented at the February meeting. The university has completed the preliminary design phase, with design drawings at the 70% stage. Pre-construction drawings are being developed. Site services have now been completed to the west side of the F2 parking lot, where the portables will be relocated. The RFP for the portable move has been issued. The university has also completed the Design-Build Stipulated Price Contract with Eastern using the CCDC14 as the basis for the agreement, with Supplemental Conditions to address areas of risk for the university.

Eastern has provided preliminary costing now that they have more detailed designs for the GMP portion of the project and the cost is coming in above the initial target of $48M. The overall project cost increases are coming from the sourcing of design work with subcontractors, modifications to the building specifications, tariffs on material, FFE costs, and increased competition for construction work in general. The university has engaged in a value engineering exercise with Eastern, and has realized approximately $500K in savings to date. The next step is for Eastern to engage vendors in the value engineering exercise by creating Design-Assist tender packages for major project components such as mechanical, electrical, form works, etc. Changes have also been made to the design of the building (e.g. reducing the size of hallways) to reduce costs without compromising AODA compliance.

Policy:

9.6 Continuity Policy

The need for a comprehensive approach to continuity planning was first identified as a risk and reported to the Board in the second University Risk Management Report presented to and accepted by the Board in June 2017. Business continuity was identified as having more significance than many other operational risks and, as such, was described as a "foundational" risk. In January 2018, the Office of the University Secretary and General Counsel facilitated discussions with the Office of Campus Safety to develop a draft Continuity Framework Policy to sustain operations in the event of a disruption. This development work (including the community consultations) continued throughout 2018. C. Foy responded to questions from Board members. She explained that the estimated 2-year timeframe to implement the Continuity Policy Framework is primarily due to resource constraints. She added that an implementation plan will be presented to A&F.

Upon a motion duly made by N. Allen and seconded by L. Elliott, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the University Continuity Management Framework Policy, as presented.

10. Investment Committee

10.1 Quarterly Report

S. Chow delivered an update from the Investment Committee. She summarized the third quarter investment results. The portfolio fell short of benchmark by about 20 basis points. Over the longer term, the portfolio has had a good absolute return. The month of January 2019 was highlighted because of the market rebound.

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

F. Garwe delivered the GNHR report. He thanked the committee and staff for all of their contributions.

11.1 Board of Governors Recruitment, Appointment and Leadership Policy

The Board was provided with the background to the proposed policy changes at the November Board meeting. As a reminder, in response to concerns raised during the spring 2018-2019 Board of Governors Election regarding Teaching Staff governor eligibility requirements, GNHR formed a Faculty Governor Working Group to review the matter over the summer months. The proposed changes to the Board Recruitment, Appointment and Leadership Policy reflect the recommendations of the working group. The amended policy underwent community consultation and no comments were submitted.

C. Foy responded to questions. She reviewed the consultation process and commented on the level of feedback. The consultation and approval pathway is governed by the Policy Framework. She explained that receiving few or no comments is not reflective of the general university environment – it is more reflective of the fact that the changes relate to a discrete issue. Further, the faculty's perspective was represented by the Teaching Staff governors on the working group.

Upon a motion duly made by F. Garwe and seconded by T. Koseck, pursuant to the recommendations of the Governance, Nominations & Human Resources Committee and Faculty Governor Working Group, the Board of Governors approved the amendments to the Board of Governors Recruitment, Appointment and Leadership Policy, as presented.

12. Strategy & Planning Committee Report (S&P)

T. Koseck delivered the S&P report. At the last committee meeting, S&P received an update on strategic risk (included in the meeting material for reference). The second University Risk Management Report was presented and accepted by the Board on June 22, 2017. A key area of focus was to support the Senior Leadership Team (SLT) and Board to finalize the list of strategic risks. In April 2018, twelve strategic risks were collaboratively drafted by SLT as risks to the University. These draft risks were shared and discussed in detail with the Board of Governors during its Annual Board Retreat in May 2018.

The third University Risk Management Report was presented and accepted by the Board on June 27, 2018. Key objectives identified for 2018/2019 included supporting SLT and the Board to determine next steps with the University strategic risks, and to continue to engage in discussion of strategic risks and strategic Risk Management through identification of assignment and

mitigation activities. On December 10, 2018, the members of SLT met to discuss the proposed assignment of Risk Owners for the University Strategic Risks.

T. Koseck also discussed upcoming Pi Day, happening on March 14. He thanked Algoma Pies for donating the pies needed for the event. The university will also be hosting a free community movie night, Ralph Breaks the Internet. S. McGovern invited Board members to participate in handing out pie on campus at one of the Faculties.

12.1 Branding Presentation

R. Seres delivered the new visual identity presentation and responded to questions from the Board. C. Foy clarified that the university has the authority to change its brand and the official name of the university is remaining the same. S. McGovern discussed the feedback and support of external stakeholders for the brand change.

The university's legal name will always appear on official documents; such as, degrees, contracts, and President's letterhead. R. Seres advised that they have worked closely with the Athletics Department and the teams will continue to be the Ridgebacks. The Athletics teams are supportive of the change.

There was also a discussion regarding rolling out the rebrand during a time of fiscal restraint. The President emphasized that the brand is so fundamental to who we are that it would represent a huge opportunity cost o not do this. The rebrand is a prudent investment to bring the university to the next level. He confirmed that there are sufficient funds available and the project promotes the university's strategy.

13. Consent Agenda

Upon a motion duly made by F. Jones and seconded by N. Allen, the following items on the Consent Agenda were approved, as presented:

13.1 Statement of Investment Policies Amendments
13.2 Minutes of Public Session of Board Meeting of November 29, 2018
13.3 Minutes of Public Session of Audit & Finance Committee Meeting of November 19, 2018
13.4 Minutes of Public Session of Governance, Nominations & Human Resources Committee Meeting of October 11, 2018
13.5 Minutes of Public Session of Investment Committee Meeting of November 19, 2018

14. Information Items (also available on the Board portal)

14.1 Compliance & Risk Management Update
14.2 Annual ESG Report
14.3 Strategic Risk Update
14.4 ACE Enhancement Project
14.5 Campus Recreation & Wellness Centre Expansion
14.6 AVIN

15. Other Business

The Board Chair noted that in light of the budget cuts, the Board's travel expenses and retreat budget will also be reduced in order to contribute to achieving a reduced budget.

16. Adjournment

There being no other business, upon a motion duly made by J. Wilson, the public session adjourned at 2:24 p.m.

Becky Dinwoodie, Secretary

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BOARD OF GOVERNORS
AUDIT & FINANCE COMMITTEE

MINUTES OF THE MEETING OF FEBRUARY 20, 2019
PUBLIC SESSION
2:00 p.m. – 3:55 p.m., ERC 3023

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

Staff: Becky Dinwoodie, Craig Elliott, Cheryl Foy, Doug Holdway, Brad MacIsaac, Sue McGovern, Pamela Onsiong

Regrets: Dietmar Reiner

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1. **Call to Order**

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

2. Agenda

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

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Chair's Remarks

The Chair welcomed everyone to the first committee meeting of the calendar year. He wished Happy New Year to those whom he had not yet seen.

5. President's Remarks

The President informed the committee that a video had been distributed to the Board and university community that afternoon, in which he discusses the budget process and budget priorities. This is a time of opportunity for the university. Despite being faced with the challenge of budget cuts, the university can become leaner and more focused. The budget is being examined through a strategic lens, which will serve the university well.

6. Finance

6.1 Third Quarter Financial Reports

P. Onsiong provided the committee with an overview of the third quarter financial reports. The balance sheet continues to be stable. There is $40M in AR (similar amount to the same time last year), which includes winter term tuition fees not collectible until January 2019. The university has collected $34M since the end of 2018. The university continues to repay its long-term debt. They are currently forecasting an operating surplus of $4.7M at the end of the fiscal year.

Following the government's announcement of tuition cuts in January, budget holders identified a savings of approximately $1M in expenses. There is also a forecast net savings of $2.8M in vacant positions. The forecast will be updated with new assumptions and presented to the committee at the next meeting.

(S. McGovern arrived at 2:17 p.m.)

6.2 2019-2020 Budget

R. Bailey emphasized that budget development continues to be guided by the university's strategic priorities. He reviewed the core values and principles that are reflected in the budget development, including:

- Students - providing an excellent learning environment and student experience;
- Faculty - build an innovation ecosystem that fosters high-impact research;
- Employees - committed to minimizing the impact of budget challenges on people by finding efficiencies and doing things differently;
- Access - committed to maintaining and enhancing a diverse and inclusive campus community; and
- Communication - committed to communicating regularly with our campus community about the budget process as it progresses.

C. Elliott reviewed the changes to the significant budget assumptions made since the budget was initially presented to the committee in November. The university is looking at strategically increasing international tuition. He confirmed that the government is implementing a 10% domestic tuition reduction for 2019-2020 and that the rates will be frozen for 2020-2021. A hard look was taken at contingencies - $2.5M remains in the plan and $1M in contingency for unanticipated events throughout the year. Budget holders were asked to submit proposals to reduce expenditures by 5% in year 1 and by an additional 3% in year 2. The university will be implementing strategic cuts as opposed to across the board reductions. C. Elliott reviewed the next steps in the budget process.

6.3 2019-2020 Tuition Fees

B. MacIsaac presented the recommended 2019-2020 tuition fees. He advised that despite the proposed 10% increase for first year international engineering tuition fees, the fees would remain below the Ontario median. For international graduate students, tuition fee increases have less of an impact as funding is often given back through scholarships. There was a discussion regarding the demand for international students and whether demand is affected by tuition fees. The assumption

for domestic and international students is that demand is inelastic. The university is examining how to increase our number of international students where we have room to grow.

Upon a motion duly made by S. Chow and seconded by D. Allingham, the Audit & Finance Committee recommended the 2019-2020 tuition fees, as presented, for approval by the Board of Governors.

6.4 Revised 2019-2020 Ancillary Fees

B. MacIsaac presented the proposed ancillary fees for the committee's consideration. He explained that the 2019-2020 ancillary fees were approved by the Board two years ago in order to determine net tuition fees under the previous tuition framework. After years of no ancillary fee increases, the recommendation is to increase fees by the rate of inflation for 2019-20. B. MacIsaac advised that there remains some uncertainty surrounding how ancillary fees will be categorized as mandatory or optional. It seems that all of the administrative fees will fit the definition of mandatory ancillary fees. There are components within the Student Union (SU) fees that might be considered optional. The goal is that by educating students about the services those fees provide, students will choose not to opt out.

In the context of this uncertainty, the Board is being asked to approve the ancillary fees as a maximum amount. The university will continue to work with the SU on further breaking down the ancillary fees and presenting the break down at the next meeting for information.

B. MacIsaac responded to questions from the committee. He clarified that previously, the only ancillary fees students could opt out of were the health/dental fees (by providing proof of existing coverage). Approximately one-third of students opted out of health/dental fees. Student ambassadors will be educating students about the benefits of paying ancillary fees. B. MacIsaac explained that the reduction in TELE ancillary fees for FEAS and gaming is because they are moving out of the "black box" device program and into "TELE - Bring Your Own Device". There was a suggestion that alumni could also be involved in communicating the value of ancillary fees to incoming students.

Upon a motion duly made by D. Allingham and seconded by S. Chow, the Audit and Finance Committee recommended the 2019-20 ancillary fees, as presented, for approval by the Board of Governors.

Compulsory Ancillary Fees

	2018-2019	2019-2020	% Inc
Fees Paid on Per CH basis Charged to FT & PT			
Student Life **USSL**	251.55	256.58	2.0%
Health and Wellness **UHLW**	61.72	62.96	2.0%
Campus Health Centre **UCHC**	35.75	36.47	2.0%
Infrastructure & Service Enhancements **UISE**	173.49	176.96	2.0%
Campus Access & Safety **UCAS**	139.97	142.77	2.0%
Flat Fee Paid once per yr. Charged to FT & PT			
Technology-enriched Learning (FT) Gaming **ULAF**	853.87	478.00	-44.0%
Technology-enriched Learning (FT) FEAS **ULAF – first year**	729.79	231.00	-68.3%

Technology-enriched Learning (FT) FEAS **ULAF – upper year**	729.79	766.28	5.0%
Technology-enriched Learning (FT) FESNS **ULAF**	729.79	221.00	-69.7%
Technology-enriched Learning FSCI (FT) **ULSF**	180.13	180.13	0.0%
Technology-enriched Learning FHSc (FT) **ULSF**	156.3	157.86	1.0%
Technology-enriched Learning FBIT (FT) **ULSF**	146.67	151.07	3.0%
Technology-enriched Learning (FT) FSSH **ULSF**	126.88	130.69	3.0%
Technology-enriched Learning (FT) FEDU **ULSF**	189.2	194.88	3.0%
Flat Fees Paid once per yr. (Fall or as admitted). FT only.			
Health & Dental **UHTH**	213.06	250.32	17.5%
Flat Fees Paid half Fall and half Winter. FT only			
Athletics Complex Membership **UACM**	36.69	37.35	1.8%
Intramurals **UITN**	10.36	10.55	1.8%
Campus Recreation and Wellness **UEXP**	172.23	174.12	1.1%
Student Org. Fees **USOF**	169.36	172.75	2.0%
Varsity Fee **UVAR**	119.14	121.52	2.0%
Instructional Resource **UTIR**	112.96	115.22	2.0%
WUSC Student Sponsorship **UWUF**	2.70	2.70	
U-Pass **UUPS**	135.00	139.00	3.0%
Summary (not including TELE or program fees)	**1633.98**	**1668.60**	**2.1%**

7. Project Updates

7.1 New Building

B. MacIsaac delivered the new building presentation. He informed the committee that as Eastern works with sub-trades on project expenses, the estimated costs increased by approximately $2M. Eastern is now using the design-assist process to see if cost reductions can be found. Changes have also been made to the design of the building in an effort to reduce costs (reduce width of hallways) without compromising AODA compliance. There was a discussion regarding whether the planned contingency amount is sufficient. B. MacIsaac confirmed that the project will be overseen by a project manager again. The funding options presented do not take into account potential government or philanthropic funding.

7.2 Land Exchange

C. Elliott provided a status update on the land exchange with the City of Oshawa. The environmental assessment has been completed and the City has accepted the report. He confirmed that a stage three archeological assessment has been completed and a stage four assessment is not required. The next step is to receive an updated appraisal of the land.

7.3 ACE Enhancement

C. Elliott provided an update on the progress of the ACE enhancement project. He summarized the report that was included in the meeting material. The construction project is approximately 5 days behind because of the weather. He referred the committee to the financial report included in the

meeting material. There was a change order for approximately $34,000 due to an unanticipated pipe problem. On the integration side of the project, Aolis is managing the project and RFPs are starting to be issued. There is an anticipated shortfall of approximately $2M due to inflationary effects. The gap will have to be bridged through operating funds, fundraising, or additional funding from FedDev. C. Elliott responded to questions from the committee. The project is so unique that it is difficult to get competing bids. C. Elliott advised that there is $500,000 contingency built into the project. C. Elliott meets weekly with John Komar, ACE's Director of Engineering & Operations, to ensure the project budget is staying on track.

7.4 Campus Recreation & Wellness Centre (CRWC) Expansion

C. Elliott summarized the key aspects of the report provided on the status of the CRWC expansion. He advised that RFPs were issued in early December and BBA was awarded the contract in January. BBA is finalizing drawings and pricing. Scott Barker, the Director of Athletics, is driving the project, together with L. Brual, the project manager. The Board will be provided with the same financial reporting on the CRWC project as they were given for the SIRC project. C. Elliott clarified that the project is being funded through the reserve built up through student ancillary fees. The financial report will be updated to clarify the source of funds.

7.5 AVIN

D. Holdway delivered a presentation providing an overview of the status of the AVIN project, which was included in the meeting material.

8. Investment Committee Oversight

8.1 Quarterly Report

S. Chow delivered the Investment Committee update. She advised that the portfolio performed 20 basis points behind the benchmark for the last quarter. There was significant volatility in December. The portfolio is still doing well overall for the year. In January, there was a turnaround in the market. At the committee's meeting that morning, they had an educational session on ESG, which is used as a tool to monitor operational risks that will affect a company's performance.

8.2 Endowment Disbursement Report

S. Chow presented the endowment disbursement recommendation. She confirmed that there is $2.5M available for disbursements. At the current investment level, the university needs to disburse between 3-4% of the principal value to cover our gift requirements. While the Disbursement Committee recommended disbursing up to $550,000 in 2019-20 for student awards, the Investment Committee is recommending the disbursement of up to $600,000. When making the recommendation, the Investment Committee considered the recent changes to OSAP funding and the amount available for disbursement.

Upon a motion duly made by S. Chow and seconded by S. Murphy, pursuant to the recommendation of the Investment Committee, the Audit & Finance Committee recommended the disbursement of up to $600,000 from Endowment Funds for distribution as student awards in 2019-20 for approval by the Board of Governors.

9. Risk, Compliance & Policy

9.1 Policy:

(a) Continuity Policy

C. Foy presented the Continuity Policy framework for recommendation by the committee. The university worked closely with Durham College (DC) on developing the policy and DC's policy will be almost identical. During the initial risk register development, business continuity was identified as having more significance than many other operational risks and, as such, was described as a "foundational" risk. C. Foy answered questions from the committee. She clarified that "university member" includes subcontractors or services provided by DC. She also confirmed that the policy was developed in the spirit of risk management and not as a compliance exercise. There was a discussion regarding the next steps in operationalizing the policy. C. Foy advised that the policy will require the development of procedures, tools and resources for the community, as well as training across the university. This will be a coordinated effort with DC. She will return to the committee with an implementation plan.

Upon a motion duly made by D. Allingham and seconded by S. Chow, the Audit and Finance Committee recommended the University Continuity Management Framework Policy, as presented, for approval by the Board of Governors.

(b) Review of Use of External Auditor for Non-Audit Services Policy

C. Elliott summarized the report, which was included in the meeting material. There were no recommended changes. He confirmed that the university has not used the auditors for any services that are not included on the list of pre-approved non-audit services.

(c) Review of Expendable Funds Policy

C. Elliott summarized the report for the committee and responded to questions. The university has approximately $2.4M in excess funds, which are currently invested in GICs. There were no recommended changes to the policy.

9.2 Compliance & Risk Management Update

Risk Management Update

C. Foy reviewed the key aspects of the risk management update, which was included in the material. The university is on track with the Risk Management and Insurance work plan. Given the governance work being undertaken by Academic Council (AC), the recommendation was to defer working with AC on risk and rolling it out next year. The annual risk report will be delivered in June.

Compliance – FIPPA Statistical Reporting

C. Foy provided the committee with an update on the status of compliance activities under the Freedom of Information and Protection of Privacy Act (FIPPA). Each year, the University must submit a statistical report documenting all requests for access to general records and records containing personal information. C. Foy noted a correction to the years in the table - they should be 2017 and 2018. She responded to questions from the committee members. Most breaches involve human error, which frequently involve incorrect e-mail addresses. Practices are being changed at the

university to try to minimize this type of breach. Time and hard costs for FIPPA requests are tracked and recovered. The costs of responding to requests are also being reduced by implementing changes such as providing electronic records as opposed to hard copies.

10. Consent Agenda:

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

10.1 Statement of Investment Policies Amendments

10.2 Minutes of Public Session of Meeting of November 19, 2018

11. Other Business

12. Adjournment

There being no other business, upon a motion duly made, the public session of the meeting adjourned at 4:01 p.m.

Becky Dinwoodie, Secretary

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UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

BOARD OF GOVERNORS
Governance, Nominations and Human Resources Committee (GNHR)

Public Session Minutes for the Meeting of January 17, 2019
2:00 p.m. – 2:55 p.m., ERC 3023

Attendees: Francis Garwe (Chair), Laura Elliott (*videoconference*), Kori Kingsbury, Steven Murphy (*teleconference*), Trevin Stratton (*videoconference*)

Staff: Becky Dinwoodie, Cheryl Foy

Guests : Mike Eklund, Christine McLaughlin

Regrets: Doug Allingham, Lisa Edgar

1. Call to Order

The Chair called the meeting to order at 2:09 p.m.

2. Agenda

Upon a motion duly made by K. Kingsbury and seconded by T. Stratton, the Agenda was approved as presented.

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Approval of Minutes of the Meeting of October 11, 2018

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

5. Chair's Remarks

The Chair wished everyone a Happy New Year and welcomed them to the first committee meeting of the year. He encouraged the members to actively engage during the meeting. The Chair invited the guests to introduce themselves.

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6. President's Remarks

The President discussed the government's recent announcement of tuition cuts. He confirmed that the tuition for domestic students will be cut by 10% next year. There will also be changes to OSAP funding and to the student ancillary fees model. With respect to ancillary fees, students will have the option to opt out of certain fees. These changes must be examined to determine the impact on our students' services. The government has not announced any changes to the base grant funding. The tuition fees will be frozen for 2020-2021. The reduction to tuition fees will have a significant impact on the university's budget. The President responded to questions from the committee members.

7. Governance

7.1 Faculty Governor Working Group Recommendations:

- **Board of Governors Recruitment, Appointment and Leadership Policy**
- **Teaching Staff Nominee Election Form**

C. Foy presented the proposed changes to the policy for the committee's recommendation. She reminded the committee that the amendments were initially presented to the committee in the fall for comment. She responded to the committee's questions.

Upon a motion duly made by L. Elliott and seconded by K. Kingsbury, pursuant to the recommendations of the Faculty Governor Working Group, the Governance, Nominations & Human Resources Committee recommended the amended Board of Governors Recruitment, Appointment and Leadership Policy for approval by the Board of Governors, as presented.

7.2 By-laws Implementation:

- **Academic Council's Governance & Nominations Committee**

C. Foy provided an update on the implementation of the new By-laws, which came into effect on September 1, 2018. She walked through the work plan of the new Governance & Nominations committee of Academic Council (GNC), which will be holding its first meeting in November.

7.3 Board Engagement:

- **Board Portal**

B. Dinwoodie provided a status update on the implementation of the Board portal. A kick-off meeting with Passageways took place on January 11. The portal will be introduced to the governors at the committee meetings starting in March. Introductory training sessions will be held immediately before each spring committee meeting and one-on-one sessions will also be available.

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Policy & Compliance:

7.4 Compliance Update

C. Foy provided a compliance update. The university recently enacted an interim smoke-free campus policy and will continue to conduct consultations. There are also ongoing consultations on the Student Sexual Violence Policy and Procedures.

7.5 Policy:

(a) Board of Governors Procedures for Election of Faculty, Non-Academic Staff & Student Governors

C. Foy presented the proposed amendments to the procedures for approval, which were initially reviewed by the committee at the October meeting.

Upon a motion duly made by L. Elliott and seconded by T. Stratton, the Governance, Nominations & Human Resources Committee approved the amended Board of Governors Procedures for the Election of Administrative Staff, Student, and Teaching Staff Governors, as presented.

8. Nominations

8.1 2019-2020 Election Process

B. Dinwoodie reviewed the proposed election timeline. She confirmed that the Board and Academic Council elections are run concurrently to maximize efficiencies.

Upon a motion duly made by K. Kingsbury and seconded by L. Elliott, pursuant to the recommendation of the Chief Electoral Officer, the Governance, Nominations and Human Resources Committee approved the proposed 2019-2020 Board of Governors Election Timeline, as presented.

9. For Information:

9.1 Board of Governors Policy Review Update:

(a) Attendance Policy

(b) Meeting Policy & Procedures

C. Foy provided a brief overview of the results of the reviews. A guest, M. Eklund, interrupted and asked the Chair if the committee would consider amending the Board Meeting Procedures to allow members of the public to ask questions during public meetings. M. Eklund advised that he had missed providing this feedback during the online consultation period for the procedures. The Chair responded that the consultation procedures in place should be followed. C. Foy raised a point of order and advised the Chair that members of the public in attendance are not permitted to direct questions or comments to the committee.

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10. Other Business

11. Adjournment

There being no other business, upon a motion duly made by T. Stratton and seconded by L. Elliott, the public session of the meeting adjourned at 2:46 p.m.

Becky Dinwoodie, Secretary

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BOARD OF GOVERNORS
Strategy & Planning Committee

Minutes of the Public Meeting of Thursday, January 31, 2019
2:00 p.m. to 3:40 p.m., ERC 3023

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

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

Regrets: Liqun Cao

1. Call to Order

The Chair called the meeting to order at 2:06 p.m.

2. Agenda

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

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Minutes of the Meeting of November 1, 2018

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

5. Chair's Remarks

The Chair discussed a recent innovation relating to auto safety and linked it to the research being done at the university. He also referred the committee members to the Mission, Vision and Values handout, which will be available at all future meetings for ease of reference.

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6. President's Remarks

The President discussed the recent government announcement of the 10% domestic tuition cut, ancillary fee changes, and changes to the OSAP program. The OSAP changes will likely have negative consequences for many of our students, as approximately 76% of our students receive OSAP under the current system. The university is reviewing the budget to try to find immediate efficiencies. The tuition cuts will result in a reduction of approximately $8.8-$9M for the 2019-2020 budget. The President confirmed that the international student tuition fees have not been reduced, which disproportionately impacts the university as we have fewer international students. The university's budget holders have been asked to find 8% savings across the board.

Strategy

7. Strategic Discussion: Advancing Strategic Priorities in Times of Fiscal Constraint

The President emphasized the importance of maintaining the university's momentum in achieving its strategic priorities. He observed that often universities can remain insular during a time of budget cuts and do not examine the opportunities available in the sector.

The President responded to questions from committee members regarding changes to the OSAP program. There was a discussion regarding the rationale for the OSAP changes. The President clarified that tuition cuts must be in place for September 2019. The committee also discussed the potential consequences of the student ancillary fee changes. The President advised that the priority will be to preserve the student educational experience. However, there will likely be cuts to services that the students will notice. University students have organized to rally against the OSAP and ancillary fee cuts. Ancillary fee changes will affect student life on campus.

The committee was informed that modelling has been done to try to determine how the OSAP changes will affect future enrolment. Many factors are being considered, such as the likelihood of current students returning versus the estimate of future students enrolling. The committee members expressed concern about student activities being cut due to the option of opting-out of ancillary fees. It was suggested that the university develop a plan to help support student activities that might be negatively affected by the ancillary fee changes. The President emphasized the importance of educating incoming students and parents on the value of ancillary fees and the services they help support. The Student union, student clubs, and student societies help create the culture on campus. The university will work together with the Student Union on an education campaign on what opting out of ancillary fees really means.

There was a discussion regarding the university's strategy to increase the revenue side of the budget. S. Murphy confirmed that they are examining continuing education programs.

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8. Strategic Risk

C. Foy summarized the strategic risk update report included in the meeting material. She reviewed the process followed in identifying and assigning the strategic risks. There was a discussion regarding the assignment of strategic risks, with a focus on mental health risk, in particular.

(R. Bailey arrived at 2:36 p.m.)

Compliance and financial sustainability have been identified as foundational risks. The next step will be to meet with each risk owner and ensure there is a risk mitigation plan in place.

9. Standard & Strategic Performance Indicators

R. Bailey introduced the performance indicators discussion. B. MacIsaac presented the metrics dashboard. A suggestion was made by the Chair to include a benchmark category – a level the university should strive towards.

Planning

10. Board Retreat Planning

C. Foy reviewed past retreat topics with the committee, as well as some suggested topics for the Spring Retreat. One of the suggestions was to focus the retreat on Design-Thinking and apply it to a strategic problem. One of the main goals would be to learn about what design-thinking is. The recommended dates for the retreat are May 28-29, to be scheduled close to the Strategy & Planning meeting. The committee supported holding the retreat on campus without external facilitators in order to help reduce costs.

Other suggestions included:

- another conversation about Advancement, given the number of new governors on the Board;
- session on operating in an environment of restrained funding (could use design-thinking to discuss topic);
- continuing education & needs of industry;
- the future of Durham Region and the university;
- navigating institutional governance with the new government; and
- future of Ontario economy.

It was suggested that the Board be canvassed with a few options for retreat topics.

11. Other Business

There was no other business.

12. Adjournment

There being no other business, upon a motion duly made by J. Nguyen and seconded by J. Wilson, the public session of the meeting adjourned at 3:04 p.m.

Becky Dinwoodie, Secretary

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BOARD REPORT

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

TO: **Board of Governors**

DATE: **April 24, 2019**

PRESENTED BY: **Brad MacIsaac**

SUBJECT: **2019-2020 Ancillary Fees**

COMMITTEE MANDATE:
The Audit & Finance Committee is responsible for overseeing the financial affairs of the university, which includes reviewing and recommending approval of the ancillary fees.

BACKGROUND/CONTEXT & RATIONALE:
At the Board's February 28, 2019 meeting, the 2019-20 ancillary fees were approved. It was noted that there would be a requirement to break the fees out further; but, the ministry guidelines had not been finalized. The breakdown of fees set out in Table 2 below reflects the new ancillary fee framework document released in March 2019.

RESOURCES REQUIRED:
The technical requirements for the opt-out process is within the proposed 2019-20 budget.

IMPLICATIONS:
For the university all of the fees fit within the mandatory category. Of the $564.77 in fees we collect on behalf of the USU about half are eligible for opt-out (table 2 amount highlighted in orange). Noting that the Health Plan has always been optional this is ~$30 per full-time student that is now at risk for the USU. If there was a 20% opt-out this would be a reduction of ~$50,000 from the USU budget. Through consultations with the USU the mitigation strategies include:

a) To date the services have been for full-time students. Now that the member can opt-out a prorated charge will be applied to part-time so they can have all the same benefits of the activities. This is a 40% charge or ~$15 per part-time student that may bring in up to ~$15,000.

b) The majority of the costs associated with the opt out eligible services (ie clubs, societies, campus life events) are variable. Therefore, they may reduce if a greater proportion of students decide to opt-out.

COMPLIANCE WITH POLICY/LEGISLATION:

The increases are compliant with provincial policy and UOIT's ancillary fee protocol. The fees outlined in Table 2 and description will be loaded for students.

TABLE 1: 2019-20 Fees approved by the Board on February 28, 2019

	2018-2019	2019-2020	% Inc
Student Life **USSL**	251.55	256.58	2.00%
Health and Wellness **UHLW**	61.72	62.96	2.00%
Campus Health Centre **UCHC**	35.75	36.47	2.00%
Infrastructure & Service Enhancements **UISE**	173.49	176.96	2.00%
Campus Access & Safety **UCAS**	139.97	142.77	2.00%
Health & Dental **UHTH**	213.06	250.32	17.50%
Athletics Complex Membership **UACM**	36.69	37.35	1.80%
Intramurals **UITN**	10.36	10.55	1.80%
Campus Recreation and Wellness **UEXP**	172.23	174.12	1.10%
Student Org. Fees **USOF**	169.36	172.75	2.00%
Varsity Fee **UVAR**	119.14	121.52	2.00%
Instructional Resource **UTIR**	112.96	115.22	2.00%
WUSC Student Sponsorship **UWUF**	2.7	2.7	
U-Pass **UUPS**	135	139	3.00%
Summary USU(not including TELE or program fees)	**520.12**	**564.77**	**8.58%**
Summary (not including TELE or program fees)	**1113.86**	**1134.5**	**1.85%**

TABLE 2: 2019-20 Fees breakdown with description

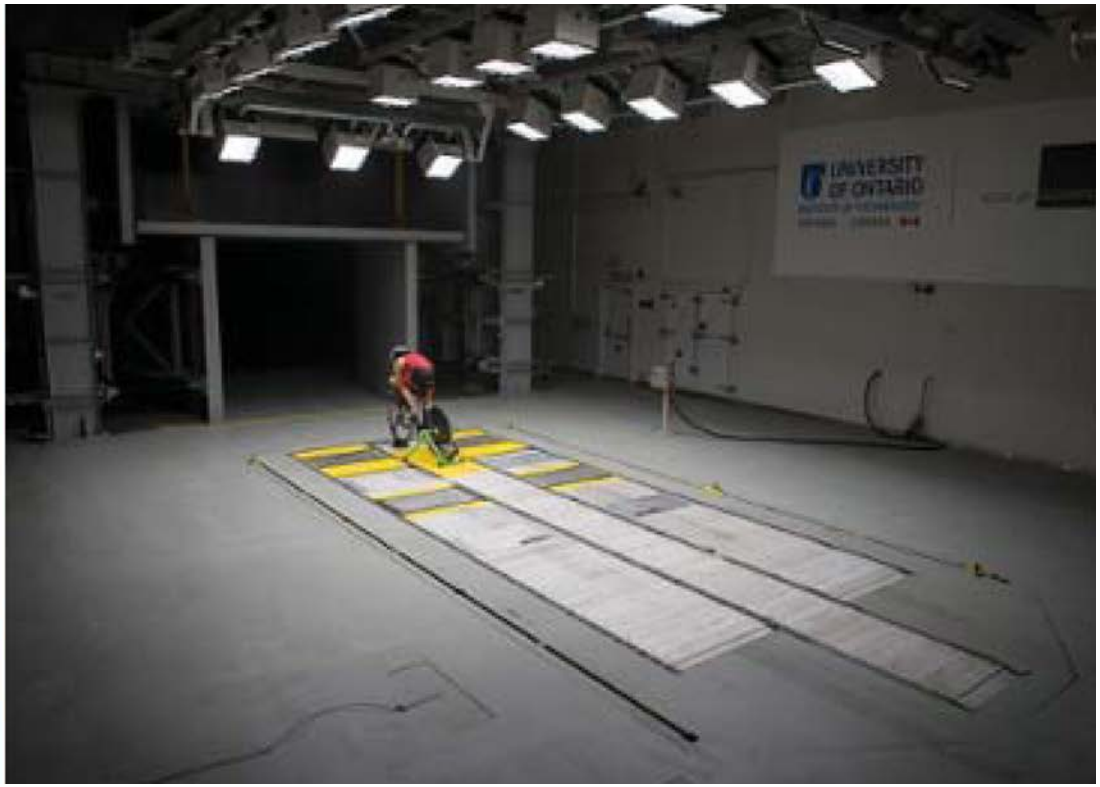
Title	Amount	Description
Career Services	68.63	Career services and supports that help students plan for their careers during their studies and successfully transition to work or further education. Services include career-counselling, specialist and peer advising, workshops, job portal, employer recruitment and other campus events.
Student Engagement	67.34	Engagement programming and resources that help students adjust to university life and enrich their student experience throughout their studies. Programs include orientation, peer leader program, equity awareness and education, and special events throughout the year.
Student Learning	115.93	Learning services and resources that strengthen students' academic skills and promote success in writing, mathematics, science and engineering, and English as another language. Services include peer tutoring, facilitated study sessions, specialist support, workshops and special events.
Health Services (general)	26.22	Health services that provide students with access to health care on campus. Services include medical clinic, naturopathic, chiropractic and physiotherapy services, a pharmacy and a part-time psychiatrist.
Mental Health Services	65.43	Mental health services that help all students manage the pressures of university life. Services include professional, short-term counselling and therapy services, support groups, self-help tools and resources, and referrals to community supports and services.

Health and Wellness	14.96	Health and wellness programs, activities and resources that promote positive health and well-being among students. Programs include such topics as consent and sexual violence prevention, smoking and cannabis harm reduction, addiction awareness, physical activity, nutrition and stress management.
Sport and Recreation	79.17	Recreation programs and facilities that support students' engagement in fitness activities. Recreation facilities include exercise centre, five gymnasiums, a 200-metre indoor track, aerobic/dance studios, ice rinks, field house, ball diamond and soccer/lacrosse turf field.
Intramural Sports	10.55	Intramural sports programs that enable students to participate on campus sports teams, including badminton, basketball, flag football, floor hockey and soccer.
Campus Access	74.69	General student overhead for online student supports such as "avoid the line" Qnomy registration, copyright compliance, security monitoring and Code Blue stations.
24/7 Building Access	33.08	Open access to campus buildings and facilities that enable students to study and collaborate on a 24/7 basis, including security services
Campus Safety	9.64	Campus safety programs that provide student access to 24/7 supports, including a Campus Walk program and Campus Emergency Response Team (CERT), a student first-aid response team
Student ID	18.74	Student identification services that provide a multi-year smart card that can be used for a variety of services on and off campus, including access to recreation and sports facilities, tests and exams, health plan and meal plans, the library and local transit.
Convocation	6.62	Registrarial services that document student achievement, such as the production of parchments and transcripts, as well as convocation
Infrastructure Enhancements	116.74	Space and facility improvements to student services including renovations, furniture replacements, network upgrades and other space enhancements.
Study and Activity Spaces	34.01	Support for spaces and facilities that enable students to collaborate and study in groups, including networks, maintenance and utilities.
Printer Services	26.21	Printer services that enable students to print assignments key locations on campus
Instructional Resource	115.22	Instructional resources that provide academic support for students
Campus Recreation and Wellness Centre	174.12	Supports the financing for the construction, expansion and improvement of sports facilities on campus and ensures effective maintenance and operation of the facility.
Varsity Sports	77.20	Ridgeback varsity teams compete provincially, nationally and internationally and enrich the overall student experience. Programming includes a free season pass to all home games, promotions and giveaways, pep rallies/campus activities and web streaming for fans, as well as high performance coaching, equipment, and travel for student-athletes.
TOTAL UOIT FEES	**1,134.50**	
Community Services	10.64	Programming and resources for students to provide recreational, health promotion and career oriented networking opportunities, as well as events such as farmers markets, blood donor clinics, sexual health awareness, and other community events.
Wellness and Support Services	11.20	Wellness and support services that focus on student equity and wellbeing, including a legal services, academic support (appeals), wellness resources, and other important student services
Student Representation and Leadership	8.89	Representation and leadership for students at the university to improve the overall student experience and provide oversight of essential student services
World University Services of Canada	2.70	Student refugee program that sponsors a student refugee and covers their living expenses during their first two years of undergraduate study.
Campus Clubs	4.80	Campus clubs that provide events and activities for students based on their interests, including informational, philanthropic, educational, religious, cultural and social purposes.
Student Societies	3.27	Student societies that operate within each Faculty and provide events and programming to enrich the academic, educational and social experience of students
Campus Life and Events	11.19	Campus life programming aimed at building a vibrant, inclusive and welcoming student community, including large campus events, cultural celebrations.

Health & Dental Plan	250.32	Health and dental plan that provides coverage to supplement the provincial health plan. This includes prescription, dental, vision, travel, and more.
Benefit Plan Coordination	23.87	Provides for the coordination of the student health and dental plan, including the negotiation and management of the plan and opt out processes.
USU Building	98.89	USU building program to finance the builiding of a purpose-build space to house programs and services for students, maintenance, capital refresh and operating costs.
Student Transit	139.00	Student transit pass that provides low-cost, unlimited travel on Durham Region Transit and OneFare DRT-GO Transit routes.
TOTAL USU FEES	**564.77**	

ACE Enhancement Project Update

Board of Governors – April 24, 2019



OntarioTech UNIVERSITY

Turner & Townsend

Progress Update :

ACE Building Modification

- Basement wall at south, west & east side completed
- Basement big door delivered to site
- Basement Waterproofing on going
- First level Steel Structure installation on going
- 1st floor hollow core slab installation started

Moving Ground Plane Integration into CWT

- Software control engineering for Moving Ground Plane on going
- Honeycomb flow straightener engineering completed and procurement process started
- Material selection for Acoustic treatment in progress
- Precision Measurement bid response comes higher than expected and currently re-scoping the bid package to re-issue bid mid April
- Air compressor budgetary quotes obtained from potential supplier. RFP is currently progressing

Site Safety:

- Nothing to report – no incident on site this period
- Zero YTD incidents

Change Orders:

- No change order request and approval at this period
- Change orders to date total $45K

Procurement Summary:

- Honeycomb flow straightener procurement started
- MGP Precision Measurement tender to re-issue
- Air compressor procurement documentations on going

Financial Summary:

- To date Federal funding received $1.27M
- To date Provincial Funding received $1.35M
- $25K donation received from The GREENBRIAR Foundation
- Forecast project cost at completion $14.86M
- Breakdown of Sources and Uses of funds next slide.

Summary Financial Report as of Mar 31, 2019

ACE ENHANCEMENT PROJECT — **PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING MARCH 2019**

Sources of Funds - Cash Flow

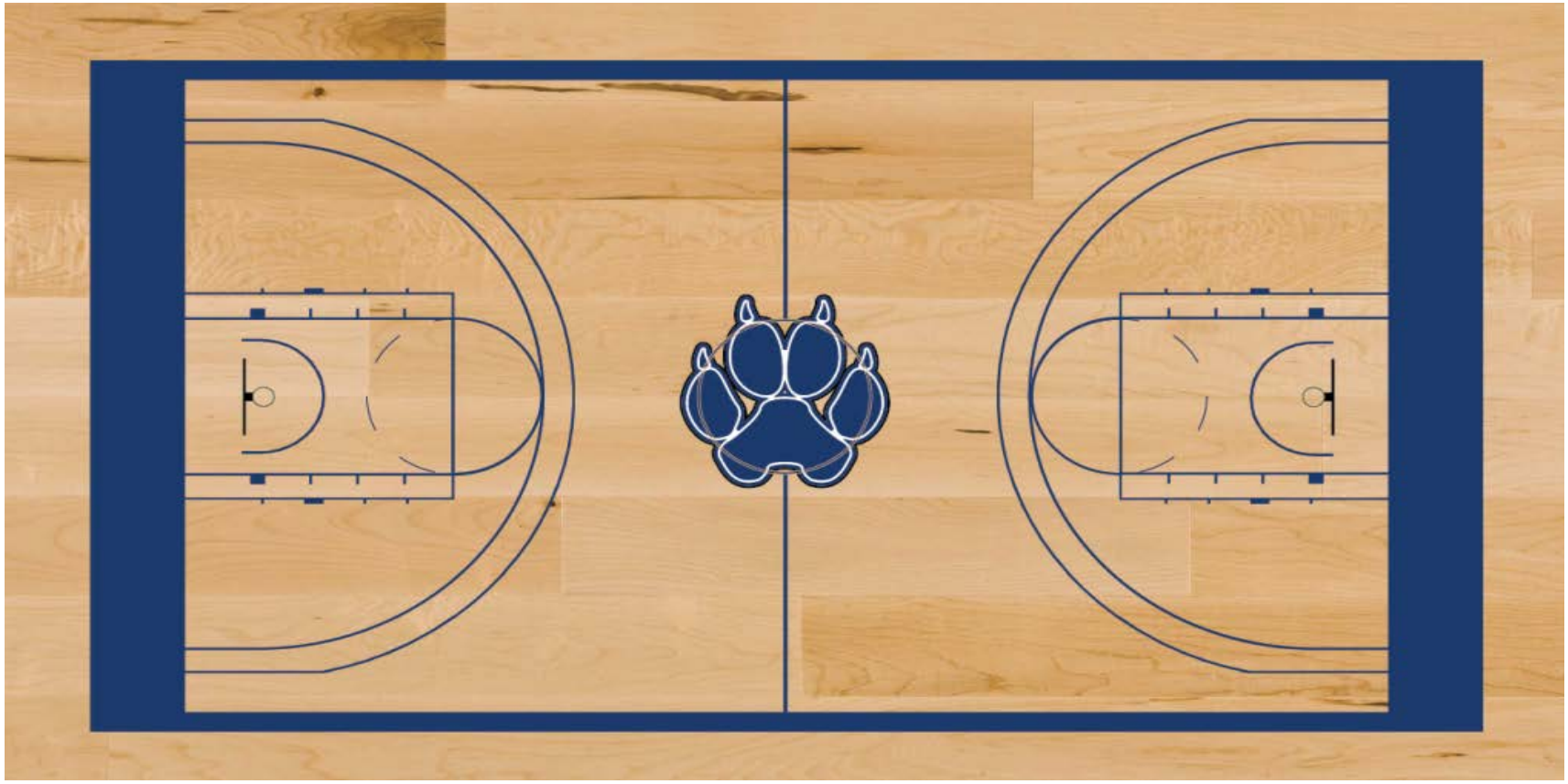
Description	Budget March 2019	Actual March 2019	Budget YTD	Actual YTD	Variance	Source of Funds Comments	Total Funding Budget	Total Actual YTD	Forecasted Funding Required	Funding at Completion	Variance
			X	Y	X - Y		A	B	C	D = B + C	A - D
FEDDEV	$ 1,209,681	$ 1,209,681	$ 1,268,892	$ 1,268,892	$ -		$ 9,465,000	$ 1,268,892	$ 8,196,108	$ 9,465,000	$ -
PROVINCIAL	$ -	$ -	$ 1,350,000	$ 1,350,000	$ -		$ 1,500,000	$ 1,350,000	$ 150,000	$ 1,500,000	$ -
MAGNA	$ -	$ -	$ -	$ -	$ -		$ 1,000,000	$ -	$ 1,000,000	$ 1,000,000	$ -
THE GREENBRIAR FOUNDATION	$ -	$ 25,000	$ -	$ 25,000	$ (25,000)	Donations through Advancement. Committed 100K$	$ -	$ 25,000	$ -	$ 25,000	$ (25,000)
UOIT	$ -	$ -	$ -	$ -	$ -		$ 500,000	$ -	$ 500,000	$ 500,000	$ -
Totals	$ 1,209,681	$ 1,234,681	$ 2,618,892	$ 2,643,892	$ (25,000)		$12,465,000	$ 2,643,892	$ 9,846,108	$12,490,000	$ (25,000)

Uses of Funds - Cash Flow

Description	Budget March 2019	Actual March 2019	Budget YTD	Actual YTD	Variance	YTD Variance Explanation	Milestone	Status	Total Budget	Total Actual YTD	Estimate to Complete	Estimate at Completion	Variance
			X	Y	X - Y				A	B	C	D = B + C	A - D
Moving Ground Plane Integration into CWT	$ -	$ -	$ 4,690	$ 4,690	$ -		Sep 2020	Engineering	$ 3,350,000	$ 4,690	$ 3,345,310	$ 3,350,000	$ -
Aerodynamic Enhancements Required for M	$ -	$ -	$ -	$ -	$ -		May 2020	Engineering	$ 2,540,000	$ -	$ 2,540,000	$ 2,540,000	$ -
Acoustics	$ -	$ -	$ -	$ -	$ -		Dec 2019	Engineering	$ 845,000	$ -	$ 845,000	$ 845,000	$ -
Precision Measurement Capability	$ -	$ -	$ -	$ -	$ -		Jun 2020	Procurement	$ 1,850,000	$ -	$ 1,850,000	$ 1,850,000	$ -
Chamber Modifications	$ 39,756	$ 39,756	$ 39,756	$ 39,756	$ -		Dec 2019	Procurement	$ 630,000	$ 39,756	$ 590,244	$ 630,000	$ -
Base Building Modifications	$ 210,070	$ 210,070	$ 553,197	$ 553,197	$ -		Jul 2019	Construction	$ 3,645,000	$ 553,197	$ 3,057,803	$ 3,611,000	$ 34,000
CO#1 Unforeseen Site Condition	$ 34,000	$ 34,000	$ 34,000	$ 34,000	$ -		Feb 2019	Construction	$ -	$ 34,000	$ -	$ 34,000	$ (34,000)
Engineering and Project Management	$ -	$ -	$ 307,038	$ 307,038	$ -		Sep 2020	On-going	$ 2,000,000	$ 307,038	$ 1,692,962	$ 2,000,000	$ -
Totals	$ 283,826	$ 283,826	$ 938,681	$ 938,681	$ -				$14,860,000	$ 938,681	$13,921,319	$14,860,000	$ -

CRWC – Varsity Change Room Update

Board of Governors – April 24, 2019



OntarioTech UNIVERSITY

Progress Update

Varsity Change Room

- Preliminary schematic design completed
- Risk assessment completed which highlighted concerns to schedule, cost, disruption to adjacent campus facilities
- Alternative locations explored
- All stakeholders approved new location attached to the south elevation of G-Wing
- Initial schematic design of new location completed, reviewed and commented
- Detailed design is 95% completed

Forecast Schedule

- Complete detailed building design for review and approval of all stakeholders
- Tender RFP for construction April 10 2019
- Construction to begin May 8 2019
- Substantial Completion of the project Aug 23 2019
- Occupancy September 15, 2019

Site Safety:

- Nothing to report – no incident on site this period

Change Orders:

- Nothing to report – no change order this period

Procurement Summary:

- Building and site services design awarded to BBA
- Tender for construction to be developed after design is finalized

Financial Summary:

- To date Design cost $5,562
- To date Design commitment $137,535

Summary Financial Report as of April 9 2019

CRWC VARSITY CHANGE ROOM EXPANSION PROJECT FINANCIAL SUMMARY REPORT FOR MONTH ENDING **March 2019**

Sources of Funds

Description	Forecast YTD March 2019	Actual YTD March 2019	Budget YTD	Actual YTD	Variance	Source of Funds Comments	Total Funding Budget	Total Actual YTD	Forecasted Funding Required	Funding at Completion	Variance
			X	Y	X - Y		A	B	C	D = B + C	A - D
UOIT					$ -					$ -	$ -
CRWC Reserve fund	$ 5,562	$ 5,562	$ 5,562	$ 5,562	$ (0)		$ 2,000,000	$ 5,562	$ 1,918,242	$ 1,923,804	$ 76,196
					$ -					$ -	$ -
Totals	$ 5,562	$ 5,562	$ 5,562	$ 5,562	$ (0)		$ 2,000,000	$ 5,562	$ 1,918,242	$ 1,923,804	$ 76,196

Uses of Funds

Description	Forecast YTD March 2019	Actual YTD March 2019	Budget YTD	Actual YTD	Variance	YTD Variance Explanation	Milestone	Status	Total Budget	Total Actual YTD	Estimate to Complete	Estimate at Completion	Variance
			X	Y	X - Y				A	B	C	D = B + C	A - D
Construction	$0	$0	$0	$0	$0				$1,110,242	$0	$1,110,242	$1,110,242	$0
Design	$5,377	$5,562	$5,562	$5,562	$0				$140,000	$5,562	$134,438	$140,000	$0
Permits	$0	$0	$0	$0	$0				$35,000	$0	$35,000	$35,000	$0
Site Services	$0	$0	$0	$0	$0				$240,000	$0	$240,000	$240,000	$0
FFE	$0	$0	$0	$0	$0				$150,000	$0	$150,000	$150,000	$0
Contingencies	$0	$0	$0	$0	$0				$243,000	$0	$243,000	$243,000	$0
					$0								
Totals	$5,377	$5,562	$5,562	$5,562	$0				$1,918,242	$5,562	$1,912,680	$1,918,242	$0

Durham Region

Eastern Ontario's Technology Development Site for the Autonomous Vehicle Innovation Network

DURHAM COLLEGE
SUCCESS MATTERS

OntarioTech UNIVERSITY

Spark CENTRE

New AVIN Capabilities

- EV Charging/ Microgrid Test Bed — Launched Dec 2018
- Simulated Automotive Wireless Environment — March 2019
- Software Validation and Certification — Launched Jan 2 2019
- Data Storage, Real Time Analysis and Visualization — Launched Sept 2018
- Fabrication Space — Open Sept 2018

New CNC Milling Machine

EV Charging Test Bed

Outreach

-Town of Whitby
-Durham Regional Transit
-Town of Cobourg-Venture 13
-Markham-Venture Labs

+ multiple companies across Durham/Northumberland and Ontario

Status

- 2018 Spending to plan

- A half dozen new projects involving Ontario Tech faculty and their students under discussion

- Continue to apply for AVIN Project Funding with partner companies
  - 3 awarded to date
  - 2 new projects under discussion

- New capabilities now largely in place, moving toward increased out reach to generate new technology commercialization projects

BOARD REPORT

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

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

TO: **Board of Governors**

DATE: **April 24, 2019**

FROM: **Audit & Finance Committee**

SLT LEAD: **Cheryl Foy, University Secretary and General Counsel**

SUBJECT: **Risk Management Policy Initiatives Update**

COMMITTEE/BOARD MANDATE:

- Section 5 of the university's Risk Management Policy ("Policy") provides that the responsibility to oversee the University's Risk Management ("URM") program resides with the Board of Governors ("Board").
- The Policy also states the Audit & Finance Committee ("A&F") is delegated to carry out this oversight responsibility on the part of the Board and to report annually to the Board on the status of the risk management program.
- The responsibility for overseeing risk management at the University is also included in the Committee's Terms of Reference.
- In support of the Committee's mandate, we are providing an update on the progress being made on the 2018/2019 Risk Management objectives outlined in the Annual Risk Management Board report.

BACKGROUND/CONTEXT & RATIONALE:

- The need for the design and implementation of additional processes and tools to support Risk Owners was identified, reported, and accepted by the Board in the third University Risk Management Report in June, 2018.
- The Office of Risk Management has developed, in consultation, three risk management approval directives to support the integration of risk while planning activities taking place on and off campus. These directives will formalize a consistent approach to identifying, assessing, and communicating risk to members of the University to inform on decision-making and strategy.

RESOURCES REQUIRED:

- Time and resources of Risk Management, and other stakeholders within the University for the purpose of consultation.

IMPLICATIONS:

- N/A

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- The development of these directives promotes the ongoing commitment to the integration of risk management into the University culture.

CONSULTATION:

University-Hosted Event Risk Management and Approval Directive

- Student Life – January 17, 2019
- Campus Conference Services – January 21, 2019
- Communications – January 21, 2019
- Office of Campus Safety – January 22, 2019
- Durham College, Risk Management – January 25, 2019
- Policy Advisory Group – January 30, 2019
- Risk Management Committee – February 4, 2019
- Office of Campus Infrastructure and Sustainability – April 10, 2019
- Academic Council – February 26, 2019
- Administrative Leadership Team, proposed date: June 11, 2019

University Field Trip Directive

- Student Life – January 17, 2019
- Campus Conference Services – January 21, 2019
- Office of Campus Safety – January 22, 2019
- Risk Management Committee – February 4, 2019
- Office of Campus Infrastructure and Sustainability – April 10, 2019
- Academic Council – February 26, 2019
- Administrative Leadership Team, proposed date: June 11, 2019

Air Vehicle Approval Directive – Proposed consultation dates:

- Academic Council, written consultation –April 23, 2019
- Policy Advisory Committee – May 30, 2019
- Administrative Leadership Team – June 11, 2019

COMPLIANCE WITH POLICY/LEGISLATION:

- The development and implementation of these directives promotes compliance with the University's Risk Management Policy.

SUPPORTING REFERENCE MATERIALS:

- University-Hosted Event Risk Management and Approval Directive
- University Field Trip Directive
- Air Vehicle Approval Directive

Classification Number	LCG 1116.XX
Parent Policy	Risk Management Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	President
Policy Owner	University Secretary and General Counsel
Approval Date	DRAFT FOR REVIEW
Review Date	
Supersedes	

AIR VEHICLE APPROVAL DIRECTIVE

PURPOSE

1. The purpose of these Directives is to provide an appropriate use and approval process for the piloting of Air Vehicles on University premises.

DEFINITIONS

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

"Applicant" means an individual or organization seeking to use Space.

"Control Zone" is air space controlled by NAV CANADA, which requires an approved Special Flight Operations Certificate.

"Event" means any short-term organized activity, meeting, display, or form of public address by a User within or on a University Space.

"Piloted Air Vehicle" means an aircraft with a pilot on board.

"NAV CANADA" is the company that owns and operates Canada's civil air navigation services which include air traffic control, airport advisory and flight information, and aeronautical information.

"NOTAM" is "A Notice to Airmen" filed with NAV CANADA, issued for special flight operations.

"Oshawa Aerodrome" means an area in which airport flight operations take place.

"Space" means any location owned, leased, rented or otherwise occupied by the University and made available for temporary use.

"Special Flight Operations Certificate (SFOC)" is a certificate issued by Transport Canada that is necessary to obtain in order to fly a remotely, or autonomous piloted aircraft. The certificate outlines how and where an Applicant may fly their air vehicle.

"Unpiloted Air Vehicle (UAV)" means a power-driven aircraft that is designed to fly without a pilot on board.

SCOPE AND AUTHORITY

3. These Directives apply to all Applicants seeking to pilot all air vehicles in University Space.

4. The piloting or landing of all air vehicles, falls under the Restricted Space category of the Booking and Use of University Space Procedure.

5. The University Secretary and General Counsel, or successor thereof, is the policy owner and responsible for overseeing the implementation, administration and interpretation of these Directives.

DIRECTIVE

6. APPROVAL REQUIREMENTS FOR UAV INTERNAL APPLICANTS IN EXTERIOR SPACE

6.1. The Applicant must read and understand all legal requirements and related rules to flying drones as set out by Transport Canada.

6.2. The Applicant must complete the mandatory training required by Transport Canada.

6.3. The Applicant may consult with the Director of Risk Management prior to completing the SFOC and/or Appendix B applications to ensure they have the necessary documents for filing, such as but not limited to:

i. A Certificate of Insurance;

ii. Permitted exterior location coordinates;

iii. Proof of Corporation;

iv. Emergency plan to address safety risks;

6.4. The Applicant will complete the SFOC application;

6.5. The Applicant will read and understand all legislation, rules and regulations that apply to the approved SFOC;

6.6. The Applicant will complete Appendix B;

6.7. Once the Applicant receives the approved SFOC and Appendix B, they must send the completed package including supporting documents of the SFOC to the Director of Risk Management fourteen (14) days in advance of the first proposed start date.

6.8. The Director of Risk Management will collect the appropriate signatures and notify the Applicant of the approval at least five (5) days prior to the first proposed start date.

6.9. The Applicant must keep with them at all times while piloting the aircraft:

i. A copy of the SFOC, including the emergency and security plans;

ii. The Certificate of Insurance;

iii. The pilot's name, address, and telephone number;

iv. A copy of the UAV system operating specifications and limitations;

v. Some form of communication device (e.g.; cellphone) to report any incidents.

6.10. The Applicant is required to file a NOTAM with NAV Canada in advance of every proposed flight operation.

6.11. Upon approval from NAV Canada, the Applicant is required to confirm approval of the proposed flight with Risk Management, and the Office of Campus Infrastructure and Sustainability.

6.12. The Applicant is required to contact security 24 hours in advance to access the restricted space on campus.

6.13. The Applicant is responsible for immediately reporting any situations that arise during flight operations where the UAV has come into contact with any property or person, to the Director of Risk Management and Security as soon as reasonably possible.

6.14. The Applicant is responsible for immediately reporting any situations and/or incidents including flyaway that arise to Transport Canada as outlined in the SFOC standards and Appendix B.

7. APPROVAL REQUIREMENTS FOR UAV EXTERNAL APPLICANTS IN EXTERIOR SPACE

7.1. The Property owner's permission for the use of Space will be permitted at the discretion of the Director of Risk Management and in consultation with other University stakeholders.

7.2. The Applicant must complete Appendix A and show proof of the following:

i. Approved SFOC, including the emergency and security plans;

ii. A copy of the Emergency and Security Plans;

iii. A Certificate of Insurance naming the University and Durham College as additional insured's for 5 million dollars;

iv. A copy of the system operating specifications and limitations;

v. Proposed UAV Pilot Flight Log;

7.3. The Applicant must send the approved Appendix, SFOC, and supporting documents to the Director of Risk Management twenty (20) days in advance of the first proposed start date.

7.4. The Director of Risk Management will notify the Applicant of the approval at least five (5) days prior to the first proposed start date.

7.5. The Applicant must keep with them at all times while piloting the aircraft:

i. A copy of the SFOC, including the Emergency and Security Plans;

ii. The Certificate of Insurance;

iii. The pilot's name, address, and telephone number;

iv. A copy of the UAV system operating specifications and limitations.

v. Some form of communication device (e.g.; cellphone) to report any incidents.

7.6. The Applicant is required to file a NOTAM with NAV Canada in advance of every proposed flight operation.

7.7. Upon approval from NAV Canada, the Applicant is required to confirm approval of the proposed flight with Risk Management, and the Office of Campus Infrastructure and Sustainability.

7.8. The Applicant is required to contact security 24 hours in advance to access the restricted space on campus.

7.9. The Applicant is responsible for immediately reporting any situations that arise during flight operations where the UAV has come into contact with any property or person, to the Director of Risk Management and Security as soon as reasonably possible.

7.10. The Applicant is responsible for immediately reporting any situations and/or incidents including flyaway that arise to Transport Canada as outlined in the SFOC standards and Appendix A.

8. APPROVAL REQUIREMENT FOR MANNED AIR VEHICLES AND FLIGHTS IN INTERIOR UNIVERSITY SPACE

8.1. Consult with the Director of Risk Management for flights involving Piloted Air Vehicles and/or flights in interior University Space.

8.2. The Director of Risk Management will determine if an Applicant is permitted to conduct the proposed flight operation in University Space considering all evidence from the Applicant and in consultation with other stakeholders both internal and external to the University.

MONITORING AND REVIEW

9. These Directives will be reviewed as necessary and at least every three years. The Risk Management Committee or successor thereof, is responsible to monitor and review this Directive.

RELEVANT LEGISLATION

10. Occupational Health and Safety Act, R.S.O. 1990, Chapter O.1

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

Canadian Aviation Regulations

Civil Aviation, Standards: General Safety Practices – Model Aircraft and Unmanned Air Vehicles

Interim Order Respecting the Use of Model Aircraft

Transport Canada Aeronautical Information Manual

Criminal Code of Canada

Privacy Act

Trespass Act

Transportation of Dangerous Goods Act

Canadian Transport Accident Investigations and Safety Board Act

RELATED POLICIES, PROCEDURES & DOCUMENTS

11. Booking and Use of University Space Policy

Booking and Use of University Space Procedures

Risk Management Framework Policy

University-Hosted Event Risk Management and Approval Directive

Appendix A – Air Vehicle Application for External Users

Appendix B - Air Vehicle Application for Internal Users

Classification Number	LCG1116.XX
Parent Policy	University Risk Management Policy
Framework Category	Legal, Governance, Compliance
Approving Authority	President
Policy Owner	University Secretary and General Counsel
Approval Date	
Review Date	
Supersedes	

UNIVERSITY FIELD TRIP RISK MANAGEMENT AND APPROVAL DIRECTIVE

PURPOSE

1. The purpose of these Directives is to provide a Risk management and approval process for an Applicant planning a University Field Trip.

DEFINITIONS

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

"Applicant" means a course instructor planning a University Field Trip.

"Certificate of Insurance" means a standard document issued by an insurance company or broker which evidences an insurance policy exists for a particular External Service Provider.

"Event" means any short-term organized activity, meeting, display, or form of public address by a User within or on a University Space.

"External Organization or User" means a person or organization that is not considered a University Member.

"External Service Provider" means any organization providing any form of goods and/or services. Goods and services include but are not limited to guest or key note speaker, catering, equipment and rental, photography, animal therapy, décor, and transportation.

"Space" means any location owned, leased, rented or otherwise occupied by the University and made available for temporary use.

"Mandatory University Field Trip" means any short-term educational/instructional experience outside of regular laboratory and classroom activities for students led and planned by a University staff or faculty member, and has the following characteristics:

- Part of the student academic curriculum;
- Expand student learning, knowledge, or understanding of a subject; and/or
- Provides active hands on experience.

"University Hosted Event" means an Event hosted, sponsored, or organized by the University, where the Applicant is a faculty or staff member, the Event benefits the University, and is held in University Space.

"Voluntary University Field Trip": mean a field trip that carries all of the same characteristics of a Mandatory University Field Trip, with the exception that it is not required for academic credit.

SCOPE AND AUTHORITY

3. These Directives apply to all staff and faculty.

4. These Directives do not apply to Events.

5. These Directives do not apply to Student Organized Events as defined in the Booking and Use of Space Policy.

6. External organizations or users are not within the scope of these Directives.

7. The Chief Risk Officer, or successor thereof, is responsible for overseeing the implementation, administration and interpretation of these Directives.

8. Classroom activity that is held off-campus as a regularly occurring, integral, formal, and scheduled component of an academic course (e.g.; engineering courses), and identified as such in the course outline, are not considered to be University Field Trips.

DIRECTIVE

9. Process Approval

9.1. University Field Trips require approval under these Directives.

a) The Applicant makes the appropriate pre-travel arrangements using the University Field Trip Risk Awareness Guide.

b) The Applicant must adhere to the International Student Travel Policy and High Risk International Travel Policy as applicable.

c) The Applicant completes the relevant University Field Trip form for approval in advance of the University Field Trip;

d) Following Dean, or delegate approval the Applicant submits the form a minimum of ten (10) in advance of the University Field Trip to Risk Management, Security and any applicable course instructor(s) whose classes may be affected.

e) Risk Management will:

- Request additional information from the Applicant for the purposes of Risk mitigation;
- Identify and/or collaborate on Risk mitigation strategies for the University Field Trip;
- Provide the Applicant relevant approvals and advise on necessary insurance documents;

f) The Applicant arranges the necessary services with External Service Provider(s), and secures the appropriate contract agreement and/or Certificate(s) of Insurance.

g) The Applicant collects a signed informed consent from all participating students in a Mandatory University Field Trip, or a waiver from all students participating in a Voluntary Field Trip and retains in accordance with the Records Management Policy.

MONITORING AND REVIEW

10. These Directives will be reviewed as necessary and at least every three years. The Risk Management Committee or successor thereof, is responsible to monitor and review this Directive.

RELEVANT LEGISLATION

11. Human Rights Code, R.S.O. 1990, Chapter H.19

Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005, c. 11

Occupational Health and Safety Act, R.S.O. 1990, Chapter O.1

RELATED POLICIES, PROCEDURES & DOCUMENTS

12. Alcohol Policy

Accessibility Policy

Risk Management Policy

Records Management Policy

Student International Travel Policy

University Field Trip Awareness Guide

Classification Number	LCG 1116.XX
Parent Policy	Risk Management Policy
Framework Category	Legal, Compliance and Governance
Approving Authority	President
Policy Owner	University Secretary and General Counsel
Approval Date	DRAFT FOR REVIEW
Review Date	
Supersedes	

UNIVERSITY-HOSTED EVENT RISK MANAGEMENT AND APPROVAL DIRECTIVE

PURPOSE

1. The purpose of these Directives is to provide a Risk management and approval process for an Applicant planning an Event hosted, sponsored, or organized by the University, held in University Space.

DEFINITIONS

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

"Applicant" means an individual or organization seeking to use Space. For the purpose of these Directives, the Applicant is considered a staff or faculty member, and leading the planning and implementation of an Event.

"Campus" means the physical north and south locations.

"Certificate of Insurance" means a standard document issued by an insurance company or broker which evidences an insurance policy exists for a particular External Service Provider.

"Event" means any short-term organized activity, meeting, display, or form of public address by a User within or on a University Space.

"External Organization or User" means a person or organization that is not considered a University Member.

"External Service Provider" means any organization providing any form of goods and/or services. Goods and services include but are not limited to guest or key note speaker, catering, equipment and rental, photography, animal therapy, décor, and transportation.

"Internal Services" means departments which exist within the University, such as but not limited to the Office of Campus Safety, Office of Campus Infrastructure and Sustainability, Media Services, Parking, Facilities and Logistical Management Services.

"Open to the Public" means an Event that permits external individuals to attend without a formal invitation.

"Private Meeting" means a meeting that may involve external parties, but is not Open to the Public and can only be attended by invitation from the unit holding the meeting.

"Pre-Approved Event" means Events which are subject to an established approval process, which include:

- Events undertaken within a clearly established, ongoing planning and risk management framework that have been approved by the Director of Risk Management;
- Events that require the submission of an Appendix A/B application under the Piloting of Unmanned Air Vehicles (UAV's) or Manned Air Vehicles Appropriate Use and Approval Directive.

"Risk" means the uncertainty of outcomes against planned objectives.

"Space" means any location owned, leased, rented or otherwise occupied by the University and made available for temporary use.

"University-Hosted Event" means an Event hosted, sponsored, or organized by the University, to the University's benefit, and has one or more of the following characteristics:

- The individual planning the Event is an Applicant;
- The Event takes place in University Space;
- The Event makes use of Internal Services;
- The Event requires External Service Providers;
- The Event is Open to the Public;
- The Event is communicated through any form of marketing channel such as flyers, posters or online;
- The Event raises risk concerns and/or is inherently risky.

"University Member" means any individual who is:

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

SCOPE AND AUTHORITY

3. These Directives apply to all University Members and to all facilities the University owns, leases, or operates in at any capacity.

4. These Directives do not apply to Events which occur that are low risk and defined:

4.1. Under normal academic programming;

4.2. Considered regular meetings of governing bodies, standing University committees, or other university bodies taking place on Campus;

4.3. Private Meetings to carry out the functions of the University that do not involve significant set up by Internal Services or significant expenses;

5. These Directives do not apply to Student Organized Events as defined in the Booking and Use of Space Policy.

6. External Organizations or Users are not within the scope of these Directives and should contact Campus Conference Services as defined in the Booking and Use of University Space Policy.

7. The University Secretary and General Counsel, or successor thereof, is responsible for overseeing the implementation, administration and interpretation of these Directives.

DIRECTIVE

8. Process Approval

8.1. University-Hosted Events require approval under these Directives.

a) The Applicant books Space with the appropriate booking authority;

b) The Applicant completes the relevant Event form for approval in advance of the Event;

c) Following Dean, or delegate or Vice President, or delegate approval, The Applicant submits the form in advance of the Event to the appropriate University Members listed on the form for approval;

d) The University Members listed are expected to:

- Request additional information from the Applicant for the purposes of Risk mitigation;
- Identify and/or collaborate on Risk mitigation strategies for Event;
- Provide the Applicant relevant approvals;

e) The Applicant arranges the necessary communication or service needs with Internal Departments;

f) The Applicant arranges the necessary services with External Service Provider(s), and secures the appropriate contract agreement and/or Certificate(s) of Insurance.

9. Pre-approved Event Process

9.1. To establish an ongoing planning and Risk management framework process, consult with the Director of Risk Management for approval.

9.2. Pre-Approved Events under an established framework will have all of the following characteristics:

a) The Events are part of the Applicant's regular daily business regime;

b) The Events are posted in advance, in a designated and public domain;

c) The Events have clearly established process documentation;

d) Pre-Approved Events approved by the Director of Risk Management are subject to review and audit, from time to time.

9.3. The Applicant of a Pre-Approved Event is not required to complete the appropriate Event form on an Event by Event basis.

9.4. Pre-Approved Events that require the use of External Service Providers must ensure that there is a valid Certificate of Insurance on file with the Office of Risk Management.

9.5. Pre-Approved Events that raises risk concerns and/or is inherently risky must be reported to the Director of Risk Management.

MONITORING AND REVIEW

10. These Directives will be reviewed as necessary and at least every three years. The Risk Management Committee or successor thereof, is responsible to monitor and review this Directive.

RELEVANT LEGISLATION

11. Human Rights Code, R.S.O. 1990, Chapter H.19

Accessibility for Ontarians with Disabilities Act, 2005, S.O. 2005, c. 11

Occupational Health and Safety Act, R.S.O. 1990, Chapter O.1

RELATED POLICIES, PROCEDURES & DOCUMENTS

12. Risk Management Policy

Booking and Use of University Space Policy

Booking and Use of University Space Procedure

Alcohol Policy

Accessibility Policy

Smoke Free Campus Policy

BOARD REPORT

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

TO: **Board of Governors**

DATE: **April 24, 2019**

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

SLT LEAD: **Cheryl Foy, University Secretary & General Counsel**

SUBJECT: **DCPP Governance Compliance**

COMMITTEE MANDATE:

As part of GNHR's oversight of the university's human resources policies, strategies and plans, the Senior Administration (Pension & Benefits) Sub-Committee (SASC) provides the committee with an annual report on compliance with the UOIT Pension Plan Governance Structure and Processes.

BACKGROUND/CONTEXT & RATIONALE:

UOIT sponsors the university's pension plan, which is a member-investment directed defined contribution pension plan (DCPP) registered with the Financial Services Commission of Ontario and the Canada Revenue Agency governed by the *Pension Benefits Act (Ontario)* and the *Income Tax Act, Canada*, respectively.

SASC exercises overall responsibility for the proper administration of the DCPP and administration and investment of the Fund. SASC's responsibilities are carried out by three members of senior management:

- Head of Human Resources (AVP, HR as of December 18, 2018)
- Chief Financial Officer
- General Counsel

SASC is also responsible for reporting to GNHR and certifying that all aspects of the UOIT Pension Plan Governance Structure and UOIT Plan Governance Processes have been met.

With respect to the year January 1 – December 31, 2018, SASC certifies that the responsibilities and processes set out in the accompanying report have been fulfilled and completed, unless indicated in yellow.

NEXT STEPS:

1. Report will be distributed to the Board of Governors at the meeting on April 24, 2019 for information.

SUPPORTING REFERENCE MATERIALS:

- 2018 Annual Pension Plan Report

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

THE UOIT DEFINED CONTRIBUTION PENSION PLAN (UOIT DCPP) GOVERNANCE COMPLIANCE CERTIFICATE

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

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

The SASC's responsibilities are carried out by three members of senior management, the Head of Human Resources, (Effective Feb 12, 2019), the Chief Financial Officer (CFO) and the General Counsel (GC). The main responsibility for the Plan and Fund lies with the Provost and Vice-President, Academic and the Pension & Benefits Staff which report to him/her.

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

With respect to the Year January 1, 2018 to December 31, 2018 the SASC hereby certifies that the responsibilities and processes listed in the accompanying ten (10) Pension Governance Checklists have been fulfilled and completed unless indicated in yellow.

Jamie Bruno,
Assistant Vice-President, Human Resources

DATED the 25 day of FEBRUARY, 2019.

Craig Elliot,
Chief Financial Officer

DATED the 25 day of Feb, 2019.

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

DATED the 25 day of February, 2019.

BOARD OF GOVERNORS

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

Board of Governors Checklist

January 1, 2018 to December 31, 2018

No.	Item	Completion Date[1]	Action Required/ Taken/Comments
1.	Establishes and updates the governance system for the Plan on the recommendation of the Governance, Nominations & Human Resources Committee	November 2013	As required
2.	Approves design changes to the Plan[2] on the recommendation of the Governance, Nominations & Human Resources	2018 N/A	
3.	Appoints the Plan auditor	2018 N/A	None
4.	Receives annual report from the Governance, Nominations & Human Resources Committee	March	At least annually
5.	Receives and considers reports from the Audit Committee	November	
6.	May receive submissions directly from the Pension & Benefits Committee	2018 N/A	None

Green-completed
Yellow-in progress
Red-outstanding

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

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

GOVERNANCE, NOMINATIONS & HUMAN RESOURCES COMMITTEE

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

Governance, Nominations & Human Resources Committee Checklist

January 1, 2018 to December 31, 2018

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives and considers reports from SLT/SASC on matters relating to the, administration and governance of the Plan and Fund	November March 2019	At least annually -Pension Audit results -Statement of Investments Policies and Procedures 2018 Annual Governance Checklists
2.	Receives and considers reports from SLT*/SASC on investment options offered under the Plan	November	At least annually
3.	Receives and considers reports from the SLT/SASC on employer-related matters, including the operational budget for the Plan	November	At least annually
4.	May receive submissions directly from the Pension & Benefits Committee	2018 None	
5.	Considers Plan design changes and makes recommendations to the Board.	2018 N/A	None
6.	Ensures that the appropriate reporting on pension-related matters is made to the Board.	February, November	At least annually -as listed in #1 above
7.	Make changes to the Accountability Tool	2018 N/A	None

Green-completed
Yellow-in progress
Red-outstanding

AUDIT & FINANCE COMMITTEE

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

Audit Board of Governors Checklist

January 1, 2018 to December 31, 2018

& Finance Committee No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Performs risk management functions in relation to the Plan and Fund as part of its ERM responsibilities	November	In accordance with the Committee's normal practices
2.	Oversees pension audit as part of the audit of UOIT	September	Done
3.	Receives reports from SLT/SASC/CFO on audit and risk management matters	November	Done
4.	Reports to the Board on risk management and audit issues	November	None reported Pension Audit

Green-completed
Yellow-in progress
Red-outstanding

SENIOR LEADERSHIP TEAM (SLT)

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

SLT Checklist

January 1, 2018 to December 31, 2018

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives reports from SASC	Ongoing	SLT meetings held weekly updates provided as required
2.	Considers Plan design changes and makes recommendations to the Governance, Nominations & Human Resources Committee	2018 N/A	None
3.	Ensures that appropriate reporting is made to the Governance, Nominations & Human Resources Committee	Ongoing	SLT meetings held weekly updates provided as required
4.	May receive submissions directly from the Pension & Benefits Committee	2018 N/A	None

Green-completed
Yellow-in progress
Red-outstanding

Senior Administration Sub-Committee (SASC)

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

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

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

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

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

SASC Checklist
January 1, 2018 to December 31, 2018

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Reviewing and approving the completed checklists/reports of P&B Staff	AVP, HR[1] & Services	December	
2.	Approving and executing Plan amendments and signing any related regulatory filings.	AVP, HR[1] & Services/GC[2] or delegate	November	Amendment –to Statement of Investments Polices and Procedures (SIPP) for removal of Black Rock Universe Bond fund and addition of PH & N Core Plus Bond Fund
3.	Approving and signing all annual regulatory filings	VP, HR& Services/GC[2]or delegate	September August December	Annual Information Return (AIR) – reviewed & filed with FSCO* Form 7- Contribution Summary-reviewed and filed with Sun Life (custodian) Financial Statements filed with FSCO*

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
4.	Approves, reviews and amends SIPP	VP, HR &Services/ GC, CFO[3]	September	Amendment –to Statement of Investments Polices and Procedures (SIPP) for removal of Black Rock Universe Bond fund and addition of PH & N Core Plus Bond Fund
5.	Selecting third party service providers and negotiating and executing contracts.	VP, HR& Services/CFO	2018 N/A	None Required
6.	Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements.	CFO/VP,HR& Services[1]	November	
7.	(a) Chairing the Pension & Benefits Committee and preparing the agenda	VP, HR& Services (or delegate)	January, March & September	Preparation of Agenda Approval of Minutes
	(b) Attending the Pension & Benefits Committee	CFO (or delegate)	January, March	Year End Pension Investment Performance meeting and discussions.
8.	Receiving and reviewing reports from P&B Staff regarding the performance of third party service providers	VP, HR & Services or delegate	January, March & September	Meetings with SASC as required
9.	Establishing service standards/benchmarks based on recommendations from P & B Staff	VP, HR & Services or delegate	Ongoing	Meetings with SASC as required. Mercer provides investment benchmarks and conducts annual and semi-annual investment performance analysis.

[3] GC and CFO play an advisory role on an as needed basis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
10.	Receiving and reviewing reports from P&B Staff regarding investment performance (and or having in-person meetings with provider(s) and consultants)	VP, HR & Services or delegate	Q1- April Q2- July Q3 – October Q4-January 2019	Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks. Investment performance posted to UOIT HR Pension website and available on Plan member website at SLF. Meetings with Mercer & SLF at least annually.
11.	Receiving and reviewing member communication and education initiatives *(continued on next page)*	VP, HR & Services or delegate	March April

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
			July	New termination option statement and letter revised for clarity
			July	Mailings to GIC members with assets >$100K –secured by SLF GIC trust product.
			September	New "Retirement Income Options Booklet" sent to all eligible employees and posted to the UOIT DCPP library website in line with CAPSA best practice.
			October	Targeted Communication- "Understanding diversification of the UOIT DCPP" to passive members who have not made an active investment election since enrolling in the plan Communication campaign for introduction of PH & N Core Plus Bond Fund replacing BlackRock Universe Bond Fund
			November	Workshop & Webinar - "Understanding Your UOIT DCPP investment options" One on one sessions with Sun Life representative Post workshop/webinar recording of webinar to all eligible employees and posted to website *(continued on next page)*

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
				Targeted communication to members who may be overdiverified with portfolios invested in more than one Black Rock Target Date fund. Sun Life Max online/email Financial Wellness campaign to all members to review pension portfolios (Financial Literacy Month)
12.	Reviewing and approving the annual expense budget	VP, HR& Services/GC[2]	April	In accordance with normal practice
13.	Considering and approving P&B Staff's recommendations with respect to Plan design changes; initiating recommendations with respect to Plan design changes as required.	VP, HR& Services/CFO	2018 N/A	None
14.	Considering and approving P&B Staff's recommendations with respect to development of new policies and changes to existing policies; initiating policy development as required.	VP, HR& Services/GC,CFO[3]	April	Approval of recommendation from P & B Committee (in consultation with investment consultant) to add PH & N Core Plus Bond Fund and remove BlackRock Universe Bond Index Fund
15.	Dealing with material regulatory issues.	VP, HR& Services/GC	2018 N/A	None
16.	Working with the Audit Committee to address risk management issues	VP, HR & Services/GC[4]	2018 N/A	None

[2] GC plays an advisory role on an as needs basis.

[3] GC and CFO play an advisory role on an as needed basis.

[4] GC plays an advisory role on an as needs basis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
17.	Overseeing governance review using Canadian Association of Pension Supervisor Authorities (CAPSA) governance tool	CFO/ VP, HR & Services[5]	Ongoing and annual review Certification by SASC February 2019	SASC meetings
18.	Preparing and delivering report(s) to the	GC/ VP, HR & Services[6]	Ongoing Meetings with P & B Staff	Updates provided by P & B Staff to AVP HR and SASC
			January, April, September	SASC Committee Meeting
	a) SLT		a) Weekly	Reporting as required
	b) Governance, Nominations &Human Resources Committee		b) October & November	Approval of Statement of Investment Policies (SIPP) and Procedures (removing Black Rock Universe Bond fund and adding PH & N Core Plus Bond Fund
	c) Audit Committee		c) November	
	d) Board		d) November	Approval of Pension Financial Statements & Pension Audit Report Approval of amendment to SIPP as per b) above, Pension Financial Statements & Pension Audit Report

[5] VP, HR & Services plays an advisory role on an as needs basis
[6] VP, HR & Services plays an advisory role on an as needs basis

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
19.	Ensuring that the Accountability Tool is completed on an annual basis and maintaining a record of the completed Checklists	VP, HR & Services/CG/CFO	February 2019	SASC annual review and compliance certification to the Board

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

Pension &Benefits (P & B) Committee

The Pension & Benefits Committee serves in an advisory capacity with respect to the Plan. The composition of the P&B Committee and other procedural matters are set out in the P&B Committee Terms of Reference, a copy of which is attached to this Accountability Tool.

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 as well as to make recommendations to SASC with respect to the specific matters identified in the P&B Committee Terms of Reference.

P&B Committee Checklist

January 1, 2018 to December 31. 2018

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Developing Agenda	VP, HR & Services (or delegate)	January, March & September	Review of previous minutes and bringing forward any actions completed and provide updates
2.	Transmitting Notice and Agenda	VP, HR & Services (or delegate)	January, March & September	Agenda and any accompanying materials reviewed prior to P & B committee meeting
3.	P&B Committee Meeting	VP, HR & Services and members of same, including CFO	January, March & September	Done
4.	Distributing Minutes	Secretary	January, March & September	Done
5.	Completing Action Items from P&B Committee Meeting	VP, HR & Services (or delegate)	September March	Responding to request from the P & B Committee –Fact Sheet published "Understanding Your UOIT DCPP Fund Management Fees" Recommendation from P & B Committee approved by SASC to add PH & N Core Plus Bond Fund and remove Black Rock Universe Bond Index Fund.
6.	Maintaining minutes of meetings	Secretary	January, March, September	Done-Distributed and posted under public folders in Outlook and filed

Green-completed
Yellow-in progress
Red-outstanding

PENSION & BENEFIT (P&B) STAFF

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

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

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

P & B STAFF ADMINISTRATIVE CHECKLIST*

January 1, 2018 to December 31, 2018

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
1.	Certified copies of all documents that create and support Plan amendments made during the year	P & B Staff	November	Statement of Investment Policies & Procedures (SIPP)– amendment removing BlackRock Universe Bond Index Fund and add PH & N Core Plus Bond Fund

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
2.	Information with respect to the remittance of employer contributions to the custodian or reallocation of assets within the Fund.	Payroll and verified by HR P & B Staff	**Full time -2018** January to December-Monthly **Less than Full time or Limited Term** January to December Bi-Weekly	Each pay cycle monthly or bi-weekly, as the case may be, payroll deductions are processed by payroll and verified by P & B Staff Cumulative amounts are monitored to ensure CRA limits do not exceed the maximum permitted under the Income Tax Act 2018 maximum $26,500
3.	Reports and returns filed with the Financial Services Commission of Ontario ("FSCO") and Canada Revenue Agency ("CRA").		September August December	Annual Information Return – filed with FSCO* Form 7- Contribution Summary Form reported & filed to Sun Life Audited Financial Statements filed with FSCO
4.	Summaries of Pension Adjustments ("PAs").	Payroll	December	2018 Pension Adjustments year-end checked no issues as confirmed by payroll & SLF
5.	Summaries of Pension Adjustment Reversals ("PARs")	N/A	N/A	Applicable to DB plans. UOIT Pension Plan which is a DC plan and therefore N/A.
6.	Annual Information Return	Pension & Benefits Staff	September	Done
7.	Form 7, Summary of Contributions/Revised Summary of Contributions	Pension & Benefits Staff	August	Done
8.	Financial Statements (including auditor's report)	KPMG and UOIT	December	Done

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
9.	Copy of SIPP as either confirmed or amended by VP, HR & Services	VP, HR & Services confirmed	September	SIPP amended for removal of BlackRock Universe Bond Index Fund and adding of PH & N Core Plus Bond Fund
10.	Reports on monitoring of investment options	Mercer Sun Life	March March & June Quarterly & Annual reporting	Done _Q4-2018 UOIT DCPP Investment Monitoring & Plan Governance Review Mercer investment analysis/reports at Year end & semi-annually Done
11.	Information with respect to the monitoring of Plan expenses	Fees paid by members	Reported quarterly on Member pension statements each quarter	Pension Plan statements available online quarterly and mailed to member's home address in January (yearend statement). Former members with assets on deposit also receive same.
12.	Information with respect to the monitoring of fees charges to members	Sun Life	Reported on Member statements each quarterly	

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
13.	Information with respect to the enrolment of new members	UOIT and Sun Life	1st day of hire for full time continuing employees (FTE) or; Less than full time or limited term employees (LTE) when criteria attained Meeting with each eligible pension plan member for enrolment and information session	All FTEs eligible to join on the date of hire (mandatory) Eligibility (voluntary)for less than full time or LTE employees 24 months of consecutive employment with the University having attained either: a) 700 hours in each of the 2 years or; b) 35% YMPE in each of the previous 2 years* Prior to or on date of hire for FTEs. For LTEs upon meeting eligibility criteria.
14.	Information with respect to the termination and death benefit payments made from the Fund.	UOIT and Sun Life	Ongoing	Termination reports received monthly
15.	Information with respect to marriage breakdowns	Sun Life	Ongoing	2 inquiries
16.	Information with respect to numbers of member and active members	Sun Life	Monthly & at Plan Year end June	Reports available at Sun Life Plan Sponsor website to access current statistics. Plan Year End reports provided directly by SLF for AIR, Form 7, Audit & Financial Statements.
17.	Information with respect to the annual statements provided to members, including sample statements.	UOIT & Sun Life	Ongoing	UOIT DCPP Library UOIT Pension Website

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
18.	Information with respect to the written explanations provided to the members about the Plan provisions and the members' rights and obligations with respect to the Plan.	UOIT and Sun Life	December 2016 September Ongoing- Full time continuing Pension and Benefits Personal Sign Up meeting (prior to date of hire) Ongoing -Less than full time or limited term employees' pension personal sign up meeting date of eligibility	UOIT DCPP Member Booklet Retirement Income Options booklet My Money Investment Guide, Sun Life on line tools (risk assessment) and UOIT Pension website Pension & Benefits at a Glance Eligible limited term employees may elect to participate or opt out.
19.	Information with respect to the educational or other information provided to Plan members about the Plan and financial planning for retirement.	UOIT and Sun Life	September October November	Targeted Communication- "Understanding diversification of the UOIT DCPP" to passive members who have not made an active investment election since enrolling in the plan Communication campaign for introduction of PH & N Core Plus Bond Fund replacing BlackRock Universe Bond Fund Workshop & Webinar - "Understanding Your UOIT DCPP investment options" One on one sessions with Sun Life representative Post workshop/webinar recording of webinar to all eligible employees and posted to website

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
			November Ongoing	Targeted communication to members who may be over diversified with portfolios invested in more than one Black Rock Target Date fund. Sun Life Max online /email Financial Wellness campaign to all members to review pension portfolios (Financial Literacy Month) Financial resources & Quarterly investment performance reports & economic outlooks. UOIT Pension Retirement & Financial Resources we
20.	Information with respect to any regulatory or other administrative issues that arose during the year.	UOIT	None	
21.	Information with respect to member complaints	Sun Life	2018 N/A	None
22.	Reports on retention of new service providers/copy of completed third party evaluations		October	None
23.	Copies of any legal opinions obtained during the year.	N/A	N/A	None
24.	Copy of completed regulatory compliance checklist	UOIT	December	
25.	Report on the results of the reviews of and/or amendments to any Key Plan Documents	UOIT	September	Review of Statement of Investments Policies & Procedures

*YMPE (Year's Maximum Pensionable Earnings)/35% of YMPE

- 2016 YMPE $54,900/$19,215
- 2017 YMPE $55,300/$19,355

Green-completed
Yellow-in progress
Red-outstanding

B STAFF : REGULATORY COMPLIANCE CHECKLIST

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

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

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

	Legislation	Time Limit (if any)	Person Responsible	Comments
(a) Filing of Plan Documents				
❑ File certified copy of plan amendments with Superintendent along with Form 1.1.	PBA s.12(1), (2)	Within 60 days after the date on which the plan is amended.	P & B Staff	2018 None
❑ File with Superintendent certified copies of each document that changes the documents that create and support the plan or pension fund (e.g. trust documents). File with CRA as appropriate.	PBA s.12(3) ITA Reg. 8512(2)	Within 60 days after the date on which the plan is amended. July 24, 2003 September 13, 2004	AON Hewitt	Done UOIT DCPP FSCO – Plan registration CRA – Plan registration
❑ File explanation of amendment transmitted to members with Superintendent.	PBA s.26(3) Reg. 3(4)	Within 6 months after registration of the amendment. (If amendment is adverse (i.e. reduces benefits or rights on a go forward basis), Superintendent may require explanation to be provided prior to registration.)	2018 /A	None
❑ If Superintendent dispenses with notice of the amendment required under s.26(3) of the PBA, then must provide notice of amendment with next annual statement to members.	PBA s.26(4), 27 Reg. 39(2)		2018 N/A	None
❑ File copy of notice of adverse amendment provided to members (if such notice was required) with Superintendent and certify details as to classes of persons who received notice, date when last such notice given and that notice was provided as required.	PBA s. 26(1) Reg. 3(3)	Within 30 days after the date on which the last of the notices was transferred. See under section (c) below regarding required disclosure of adverse amendments to members.	2018 N/A	None
❑ File certified copy of amendments with CRA along with form T920.	ITA 147.1(4) ITA Reg. 8512(2), (3)	Within 60 days after the date, the amendment is made.	P & B Staff	None

	Legislation	Time Limit (if any)	Person Responsible	Comments
(b) Reporting Requirements				
❑ File an annual information return.	PBA s.20(1) Reg. 18(1), (6), (7) Reg. 37 ITA Reg. 8409(1), (2)	9 months after the plan's fiscal year end. November	P & B Staff	Done -filed with FSCO
❑ File financial statements (including auditors' report where plan assets exceed $3 million)	Reg. 76	By June 30 of the year following the plan's fiscal year end. December	Finance and P & B Staff	Financial Statements filed with FSCO
❑ Review SIP&P and amend/confirm annually.	Reg. 79 FIR, s.7.2(1)	September	SASC & P & B Staff	

	Legislation	Time Limit (if any)	Person Responsible	Comments
(c) Disclosure to Members				
❑ Explain plan provisions to employees who will become eligible to join the plan.	PBA s. 25(2)(b) Reg. 38	At least 60 days before employees become eligible. Date of Hire or date employee meets with part-time pension eligibility criteria	Payroll and P& B Staff	Full time continuing Pension and Benefits Sign Up meeting (prior to date of hire) Less than full time or limited term employees' pension sign up once eligibility criteria met and member elects to join
❑ Explain Plan provisions to persons who become eligible for plan membership upon becoming employed.	PBA s. 25(2)(c) Reg. 38	Within 60 days after employees, commence employment. Every eligible employee meets with P & B Staff for sign up Pension and Benefits Sign up meetings prior to date of hire for full time continuing employees. For less than full time employees - on or near the date in which the employee has met the required criteria to join the pension plan	P & B Staff	Eligibility for less than full time or Limited Term Employees 24 months of consecutive employment with the University having attained either: a) 700 hours in each of the 2 years or; b) 35% YMPE in each of the previous 2 years*
❑ Provide notice and explanation of non-adverse amendments to affected members.	PBA s. 26(3) Reg. 39(1)	Within 60 days after provincial registration.	2018 N/A	None

	Legislation	Time Limit (if any)	Person Responsible	Comments
❑ Provide notice and explanation of adverse amendments to affected members if Superintendent requires.	PBA s.26(1), (2) Reg. 3(3), (4)	At least 45 days prior to registration of the amendment.	2018 N/A	None
❑ Provide annual statement of benefits as prescribed.	PBA s.27 Reg. 40(1), (2)	6 months after the plan's fiscal year end.	Sun Life	Pension Statements Quarterly on line Pension Statements mailed annually to home address in January following year end
❑ Make documents that create and support the pension plan and other prescribed information available for inspection by members and others as entitled.	PBA s. 29, 30 Reg. 45	Within 30 days after receipt of written request.	P & B Staff	None
❑ Provide termination statement containing prescribed information for termination of employment in situations other than retirement or death.	PBA s. 28 Reg. 41(1), (2), 42	Within 30 days after termination of employment or, where notice of termination is not provided to the administrator prior to the event, within 30 days after receipt of such notice.	Sun Life	Termination statements are issued in 2 weeks from date of departure from the University
❑ Where a plan member who is not entitled to a pension or deferred pension terminates employment in situations other than retirement or death, the administrator must pay any refund to which the member is entitled.	Reg. 42(3), (4) 42. revoked: O. Reg. 178/12, s. 40	Within 60 days after termination or, where a member has an option for receiving a refund, within 60 days after receipt of a direction from the member.	Sun Life	Payments made within 30 days upon receipt of member's election to transfer assets out of the UOIT DCPP.

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

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

	Legislation	Time Limit (if any)	Person Responsible	Comments
❑ Pension Adjustment Reversals must be reported to CRA.	ITA Reg. 8402.01	When the Termination occurs in the 1st, 2nd, 3rd quarter of the calendar year, within 60 days after the last day of the quarter in which the termination occurs. When the termination occurs in the 4th quarter, before February 1 of the following calendar year.	N/A	This applies to DB plans only and not the UOIT DCPP. No action required
❑ Where there is a change in the name or address of person who is administrator or persons who constitute the body that is the administrator, inform the Minister of National Revenue in writing within 60 days after the change.	ITA 147.1(7)(c)		N/A	No change

Green-completed
Yellow-in progress
Red-outstanding

P&B STAFF: KEY PLAN DOCUMENT CHECKLIST*

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

P&B STAFF: KEY PLAN DOCUMENT CHECKLIST

January 1, 2018 to December 31, 2018

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
1.	Plan text	November 2017	None	SASC & P & B Staff	No changes
2.	Custodial Agreement (under Group Annuity Contract)	November 2017	2022	N/A	RFP conducted Sun Life awarded business
3.	Record-keeping Agreement (Sun Life Service Fee Agreement)	November 2017	2022	VP HR & Services	RFP conducted Sun Life awarded business
4.	Insurance Policy Sun Life Group Annuity Contract	November 2017	2022	VP HR & Services	RFP conducted Sun Life awarded business
5.	Statement of Investment Policies and Procedures	September	As required	VP HR & Services	Revised to remove BlackRock Universe Bond Index Fund and add PH & N Core Plus Bond Fund
6.	Investment Consulting Agreement	January 2015	2020	VP HR & Services	Mercer Canada appointed
7.	Governance Documentation (including Board resolution approving UOIT Pension Plan Governance Structure and Functions Chart and Accountability Tool)	January 2017	TBD	SASC	SASC annual certification, review and approval of Governance Documentation

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

Green-completed
Yellow-in progress
Red-outstanding

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
8.	Employee Booklet	August 2017	N/A	VP HR & Services and P & B Staff	No changes in 2018
9.	Service Provider Benchmarks	November 2017	Pension & Benefits Provider 2022 Pension Investment Consultant 2020	SASC	

P&B STAFF: THIRD PARTY SERVICE REVIEW

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

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

P&B STAFF: THIRD PARTY SERVICE REVIEW January 1, 2018 to December 31, 2018

No.	Item	Reviewed by	Completion Date	Action Required/ Taken/Comments
1.	Performance Review of Trustee/ Custodian	Mercer	November	Market Review Sun Life Next review 2022
2.	Performance Review of Investment Manager, i.e., provider of investment platform for the Plan	P & B advisory committee V.P. HR & Services	September 2017	Market Review Sun Life Next review 2022
3.	Performance Review of Record-Keeper	P & B advisory committee V.P HR & services	September 2017	Market Review Sun Life Next review 2022
4.	Performance Review of Investment Consultant	CFO, V.P. HR & Services, P & B Staff	December 2014	Effective January 2015 Contract awarded to Mercer –next review 2020
5.	Performance Review of External Legal Counsel	N/A	N/A	None required
6.	Performance Review of External Auditor	N/A	N/A	None required

Green-completed
Yellow-in progress
Red-outstanding

BOARD REPORT

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

TO: **Board of Governors**

DATE: **April 17, 2019**

FROM: **Audit and Finance Committee**

SLT LEAD: **Cheryl Foy, University Secretary & General Counsel**

SUBJECT: **Policy Activity Report**

COMMITTEE MANDATE:

- In accordance with its Terms of Reference, the Audit and Finance Committee (A&F) is responsible for overseeing the internal systems and control functions of the university.
- As part of this responsibility, A&F receives regular reports on policy development and approvals at the University, in accordance with the Policy Framework.
- A&F is providing the Board with the most recent update for information.

BACKGROUND/CONTEXT & RATIONALE:

- The purpose of this Report is to provide the Board with an update on the status of Policy from March 1, 2018 to March 1, 2019, which includes the period since the approval of amendments to the Policy Framework on June 27, 2018. Over the past year, 22 new or amended policy instruments have been approved by approval authorities in accordance with the Policy Framework. A complete list is provided as part of supporting documentation.
- The tables below track support of policy instrument development provided by the Compliance and Policy Office over the past four years. We note a significant increase in the past year. A complete list of the ongoing policy projects is provided as part of supporting documentation.

- TABLE 1: Overall Policy Support 2015-16 to 2018-19

Year	Drafting	Recommendations	Consultation
2015-16	17	23	18
2016-17	6	11	5
2017-18	8	28	29
2018-19	23	35	42

- TABLE 2: Policy Support by Unit March 1, 2018 to March 1, 2019

Unit	**Drafting**	**Recommendations**	**Advice**
University Secretary and General Counsel	15		
Student Life	4	5	1
Research Services		13	7
Communications and Marketing	1		2
Centre for Institutional Quality Enhancement		4	2
External Relations		1	
Finance		3	3
Human Resources	2	2	1
IT Services			2
Graduate Studies			8
Registrar's Office		4	14
Teaching and Learning		3	

COMPLIANCE WITH POLICY/LEGISLATION:

- The report considers the University's policy instruments in development under the Policy Framework. The Policy and Compliance Office provides support to key policy work to ensure legislative compliance. The office also advises policy leads on steps to take to ensure compliance with the Policy Framework.

SUPPORTING DOCUMENTATION

- 2018-19 Policy Approvals
- List of Policy Projects in Progress

Policy Instrument Approvals (March 1, 2018 – March 1, 2019)

LEGAL, COMPLIANCE & GOVERNANCE		
Policy Instruments that relate to: broader institutional planning and governance issues, management of institutional risk, accountability and legislative requirements, and academic governance matters outside those authorities explicitly delegated by the Board to Academic Council.		
Title	Approval Date	Approval Authority
Procedures for the Development, Approval and Review of Policy Instruments	May 31, 2018 (A)	Governance, Nominations and Human Resources Committee
UOIT Policy Framework	June 27, 2018 (A)	Board of Governors
Procedure for On-Campus Medical Cannabis use by Students	November 19, 2018	Audit and Finance Committee
Freedom of Expression Policy	November 29, 2018	Board of Governors
Signing Authority Registry and Approval Procedures (Interim)	November 29, 2018 (A)	Board of Governors
Statement of Investment Polices	February 28, 2019 (A)	Board of Governors
University Continuity Management Framework Policy	February 28, 2019	Board of Governors

BOARD		
Policy Instruments that relate to the governance and administration of the Board of Governors.		
Title	Approval Date	Approval Authority
Board of Governors Procedures for the Election of Administrative Staff, Student and Teaching Staff Governors	January 17, 2019 (A)	Board of Governors
Board of Governors Recruitment, Appointment and Leadership Policy	February 28, 2019 (A)	Board of Governors

(A) – amendment

ACADEMIC		
Policy Instruments that relate to academic governance and administration within the delegated authority to Academic Council from the Board.		
Title	Approval Date	Approval Authority
Final Examination Chief Proctor Directives	March 20, 2018	Academic Council
Final Examination Emergency and Disruption Directives	March 20, 2018	Academic Council
Undergraduate Alternate Pathways Policy - Ontario Colleges	May 15, 2018	Academic Council
Course Nomenclature Guidelines	October 23, 2018 (A)	Academic Council
Undergraduate Academic Regulations – Editorial Amendments	January 22, 2019 (A)	Provost
Graduate Academic Regulations – New Regulations	January 22, 2019	Academic Council
Graduate Academic Regulations – Substantive Amendments	January 22, 2019 (A)	Academic Council

ADMINISTRATIVE		
Policy Instruments that relate to the ongoing management and operations of the University and that have application across more than one organizational unit.		
Title	Approval Date	Approval Authority
Provost And Vice-President, Academic Appointment And Renewal Procedures	March 16, 2018	President
Vice-President Responsible for Research Appointment and Renewal Procedures	March 16, 2018	President
Emeritus/Emerita Professorship Policy	April 23, 2018 (A)	Senior Leadership Team
Emeritus/Emerita Professorship Nomination Procedures	April 26, 2018 (A)	Provost and VP Academic
Expense Procedure: Payments to Research Participants	September 11, 2018	University Administrative Council
Interim Smoke Free Campus Policy	October 11, 2018 (A)	President

(A) – amendment

List of Policy Projects in Progress

Date: March 18, 2019

Priority Projects: Office of the University Secretary and General Counsel

Title	Unit	Policy Lead	Type of Project	Category	Status	Mandatory Consultation and Approval Path
Contract Management Policy & Procedures	USGC	Cheryl Foy	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Signing Authority Policy & Procedures & Register	Finance	Craig Elliot	Substantive Amendment	LCG	Policy Review	AC/SLT/BC/BOG
Intellectual Property	Research	TBD	Amendment	LCG	With IP Committee	
Code of Ethics and Conduct	USGC	Andre Luzhetskyy	New	LCG	Drafting	

Priority Projects: Office of Student Life

Title	Unit	Policy Lead	Type of Project	Category	Status
Student Conduct & Investigation	OSL	Olivia Petrie	Substantive Amendment New PI	LCG	Draft
Student Judicial Committee	OSL	Olivia Petrie	New	LCG	Draft
Student Sexual Violence	OSL	Olivia Petrie	Amendment	LCG	Consultation
Accommodations related to Sexual Violence	OSL	Heather Leckie	New – Directive under SSV Policy	LCG	TBD

Priority Projects: Research Services

OC – Online Consultation
AC – Academic Council
ALT –Administrative Leadership Team
BC – Board Committee
PAC – Policy Advisory Committee
BOG – Board of Governors
RB – Research Board

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Animal Care Policy (6 instruments)	Research	Janice Moseley	Substantive Amendment New PI (4 Procedures)	LCG	Online Consultation	ALT/RB/AC/BC/BOG
Research Ethics	Research	Janice Moseley	Substantive Amendment	LCG	PAC Assessment	PAC/OC/RB/AC/ALT/BC/BOG

Other Policy Projects in Development

Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Smoke Free Campus (Cannabis Legalization)	HR	Jamie Bruno	Substantive Amendment/Policy Review	ADM	Interim Policy Approved / Deliberation	ALT/President
Academic Schedule Guidelines	Registrar	Kristen Boujos de Breceda	New	ADM	Online Consultation	VP
Fit for Duty (Cannabis Legalization)	HR	Joanne Evans	New	ADM	Revisions to Draft	PAC/UAC/OC/AC/President
Procedures for Managing Allergies on Campus	OSL	Heather Leckey	New	LCG	PAC Assessment	TBD
Policy Against Violence, Harassment and Discrimination in the Workplace	HR	Jamie Bruno	Policy Review	LCG	Board Committee	Health and Safety
IT Security Policy/ies	UOIT-IT/DC-IT	TBD	New / Substantive Amendments	TBD	Drafting	TBD
PCI Compliance Policy/ies	UOIT-IT/DC-IT	TBD	New	TBD	Drafting	TBD
Radiation Safety	Research	Jennifer Freeman	Amendment – TBD	LCG	Mandatory Consultation	OC/AC/A&F/BOG
Biosafety	Research	Jennifer Freeman	Amendment – TBD	LCG	Mandatory Consultation	OC/AC/A&F/BOG

OC – Online Consultation ALT –Administrative Leadership Team PAC – Policy Advisory Committee RB – Research Board
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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Responsible conduct of research	Research	Jennifer Freeman	Amendment – TBD	LCG		
Research entities	Research	Jennifer Freeman	Amendment – TBD	LCG		
Conflict of Interest in Research	Research	Jennifer Freeman	Amendment – TBD	LCG		
Indirect Cost of Research	Research	Jennifer Freeman	Amendment New Procedure	ADM		
Ownership of Research Equipment	Research	Jennifer Freeman	New			
Adjuncts	TBD	TBD				
Canada Research Chair Procedures	Research	Jennifer Freeman	New (5 procedures)	TBD	Mandatory Consultation	TBD
International Travel for Faculty and Staff	TBD	TBD	New	TBD	Initial Consultation	TBD
International Travel Procedures	TBD	TBD	New	TBD	Initial Consultation	TBD
Accessibility Policy	FSSH	Allyson Earner Wesley Crichlow	Substantive Amendment	LCG	Initial Consultation	TBD
University Vehicles	USGC	Jacquelyn Dupuis	New	TBD	Drafting	
UAV/Drone Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	PAC Assessment	PAC/OC/AC/ALT/President
Field Trip Risk Management and Directive	USGC	Jacquelyn Dupuis	New – Directive (under Risk)	LCG	PAC Assessment	PAC/OC/AC/ALT/President
University Event Risk Management and Approval Guidelines	USGC	Jacquelyn Dupuis	New	LCG	Drafting	OnCon/PAC/AC/VP
Digital Learning Resources	CIQE	Nichole Molinaro	New	ACD	Deliberation	CPRC/GSC/AC
Flag Usage	C&M	Melissa Levy	New	ADM	Online Consultation	AC/ALT/President

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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Responding to the Death of a Student	C&M	Melissa Levy	Substantive Amendment	ADM	Online Consultation	OnCon/AC/ALT
Administrative Leave	HR	Krista Secord	New	ADM	PAC Assessment	OnCon/AC/ALT/President
Review of Alleged Breach of Confidentiality	HR	TBD	New	LCG	PAC Assessment	OnCon/AC/ALT/President
Academic Integrity	TLC	Rupinder Brar	Substantive Amendment	LCG	Consultation	PAC/OnCon/CPRC/GSC/AC/ALT/BC/BOG
Convocation Arrangements - Graduand Family Member	RO	Kristen Boujos	New	ADM	Consultation/Drafting	ALT/OnCon/CPRC/GSC/AC
Procedures for Review of Academic Standing	FHSci	Lori Livingston	New	Local ADM	Consultation	Faculty Council/Dean
Committee and Working Group Approval	USGC	Niall O'Halloran	New	LCG	PAC Assessment	OC/ALT/AC/BC/BOG
Policy Review Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Policy Drafting Guidelines	USGC	Niall O'Halloran	New	LCG	Online Consultation	OC/AC/President
Procurement	Finance	Kevin Jones	Amendment	LCG	Drafting	
Course Nomenclature	CIQE	Nichole Molinaro	Amendment	ACD	Drafting	
Program Nomenclature	CIQE	Kimberley McCartney-Young	Amendment	ACD	Drafting	
Quality Assurance Framework	CIQE	Nichole Molinaro	Substantive Amendment	ACD	Drafting	
Board Ethics	USGC	TBD	New	Board	Drafting	
Communications	C&M	John MacMillan	New	ADM	Drafting	
Access to Labs *	FBIT	Andrew Hogue	New	TBD	Initial Consult	
Administrative Unit Review	CIQE	Nichole Molinaro	New	TBD	Initial Consult	
Gender Identification	RO	Joe Stokes	New	LCG	Online Consultation	BC/BOG

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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
PHIPA Privacy and Health Record Access and Custody Procedure	USGC	Niall O'Halloran	New	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Recording of Lectures	OSL	Heather Leckey	New (Procedure under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Guidelines for Memory Aids	OSL	Heather Leckey	New (Guideline under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/President
Service Animals Procedure	OSL	Heather Leckey	Amendment (Procedure under Accessibility Policy)	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Lactation Space Policy	OSL	Akeisha Lari	New	TBD	Drafting	
Volunteer	USGC	Jacqueline Dupuis	New Policy	LCG	Drafting	PAC/OC/AC/ALT/BC/BOG
Admissions Equity Policy	RO	Joe Stokes	New Policy	ACD	Drafting	OC/CPRC/AC
Research Volunteer	TBD	TBD	New	ADM	Consultation	
Visiting Scholar	TBD	TBD	New	TBD	Initial Consult	
UOIT Library Use Policy	Library	TBD	Amendment	TBD	Parking Lot	
Acceptable Use of Technology	ITS	TBD	Substantive Amendment	TBD	Parking Lot	
Emergency Preparedness plan	USGC	TBD	Editorial Amendment	TBD	Parking Lot	
Anti-Violence for Visitors and Volunteers	TBD	TBD	New	TBD	Parking Lot	
Fitness to Study	OSL	TBD	New	TBD	Parking Lot	
Halloween Attire		TBD	New	TBD	Parking Lot	
Medical Notes	RO	TBD	New	TBD	Parking Lot	
Meeting with Students	TBD	TBD	New	TBD	Parking Lot	
Umbrella Policy on Violence, Sexual Violence, Harassment and Discrimination		TBD	New	TBD	Parking Lot	

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Title	Unit	Policy Lead	Type of Project	Category	Next Step	Mandatory Consultation and Approval Path
Video Surveillance Policy		TBD	New	TBD	Parking Lot	
Workplace Accommodations for Employees with Disabilities	HR	TBD	New	TBD	Parking Lot	
Poster	C&M	TBD	New	ADM	On Hold	PAC/OC/AC/ALT/President

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UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Board of Governors - Student Success

Prepared By Brad MacIsaac, AVP Planning

April **24**, 2019

	Admission Averages			1-2 Retention Rates		
	2014-15	2015-16	2016-17	2014-15	2015-16	2016-17
Institution A	88.80	88.70	89.19	94.20	94.70	94.70
Institution B	89.30	89.70	90.11	93.20	93.60	93.90
Institution C	89.30	89.60	89.99	93.30	93.20	93.20
Institution D	81.30	82.40	82.69	82.90	88.90	92.30
Institution E	85.90	86.50	86.86	91.70	91.30	91.70
Institution F	87.70	88.00	88.20	90.30	90.90	91.00
Institution G	83.40	83.60	83.91	92.60	91.40	90.90
System	84.50	84.90	85.30	89.50	89.70	89.80
Institution H	83.60	84.10	84.57	88.80	89.60	88.40
Institution I	82.80	83.50	83.97	88.70	88.10	88.00
Institution J	81.70	82.20	82.37	88.10	88.20	88.90
Institution K	81.30	82.20	82.36	85.70	88.50	88.30
Institution L	81.60	81.50	82.00	87.60	87.50	87.50
Institution M	83.90	84.70	85.07	87.20	88.60	87.20
Institution N	81.90	81.60	81.48	87.00	85.60	86.50
Institution O	81.70	81.90	82.57	84.50	82.60	85.10
Institution P	81.50	82.00	82.87	84.50	82.20	83.60
Institution Q	80.80	81.00	81.74	84.50	84.40	83.50
Institution R	79.70	80.60	80.42	81.40	85.90	83.20
UOIT	79.30	80.20	80.32	80.30	79.90	81.10
Institution S	79.40	80.40	81.73	72.80	66.00	71.20
COMP Avg	80.83	81.25	81.80	82.45	81.12	82.18

1) **Academic Advising**: develop a campus-wide strategy for academic advising including specialized training/ certification, move towards proactive advising, enhance early warning systems.
2) **First-year and Learner Support Programming**: evaluate efficacy of learner support programs. Enhance connection between the classroom and support units.
3) **Communication and Cultural Change**: collaborative efforts to move towards greater awareness & engagement in an integrated student success strategy.

Based on Hably and McClanahan's (2004) report on national survey on student retention, What Works in Student Retention

Projects in Progress

Non-cognitive survey: Resilience is key indicator of academic and personal success – intrinsic motivation and ability to bounce back after academic and personal set backs.

Personalized MySuccess Plan: students will receive direct messages based on survey results, developing admin dashboard for Advisors to access

Open Forum Event Planning: early stages of logistic planning for new open forum date

Student Success Innovation Fund: see attached summary

Early Alert website: framework of site developed; need to develop/add content iincluding the creation of advising / faculty referral form

Early Warning System

Residence	N	% return
No	1885	80.3%
Yes	560	82.7%
Total	**2445**	**80.9%**

First Generation	N	% return
No	986	80.1%
Yes	1459	81.4%
Total	**2445**	**80.9%**

GPA	N	% return
<1.00	205	21.5%
1.00-1.49	161	46.6%
1.50-1.99	243	73.7%
>=2.00	1808	92.8%
No GPA Recorded	28	7.1%
Total	**2445**	**80.9%**

Appendix

	Return +1yr				
Faculty	**2013**	**2014**	**2015**	**2016**	**2017**
Business & Information Tech Total	79.5%	71.9%	74.8%	70.1%	76.4%
Energy Systems & Nuclear Science Total	84.0%	87.9%	78.8%	89.7%	71.9%
Engineering & Applied Science Total	81.5%	83.1%	83.9%	87.8%	90.0%
Health Sciences Total	89.2%	89.1%	85.4%	83.0%	89.2%
Science Total	73.7%	76.5%	72.6%	81.1%	81.1%
Social Science and Humanities Total	73.4%	82.0%	82.6%	81.4%	76.6%
Grand Total	**79.4%**	**80.3%**	**79.9%**	**81.1%**	**82.5%**
***CSRDE**					

Entrance Averages

Faculty / Program	2013	2014	2015	2016	2017
Business & Information Tech	77.8	78.1	78.6	78.1	79.5
Energy Systems & Nuclear Sci	79.3	82.0	79.9	81.1	80.3
Engineering & Applied Science	77.9	78.4	79.9	80.0	80.5
Health Sciences	81.3	80.4	81.5	81.5	83.2
Science	78.6	79.5	79.0	79.6	81.0
Social Science and Humanities	77.1	77.1	78.3	78.0	78.7
Grand Total	78.4	78.7	79.5	79.6	80.5

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Student Success Innovation Fund 2018 Recipient

Learn on the GO

Within Southern Ontario, UOIT students have the longest commutes ('long commutes' is given as main reason prospective students decline offers of acceptance). Methods of learning vary by student; however, increasingly students obtain much of their information online and through videos. Starting with FESNS and FBIT, courses will include a component of 'Learn on the GO'. Students will be able to access content during commuting (and other blocks of times in 15 minute sessions). Similar to labs and tutorials (timetables and course descriptions will reflect this additional time). To start, a few courses in FESNS and FBIT will be re-designed to have video and online work completed by students in transit.

This proposal is for Part 1 of a four-part program. We anticipate that upon completion of all four parts, UOIT students will have an effective learning tool and methodology in all Faculties. UOIT's location and commuting requirements will be seen as an attractive aspect of the school within two-to-three years. Within five years, we envisage a revised mobility service involving all Southern Ontario universities and key businesses. The proposal provides immediate benefits to students (regardless of completion of the next three parts).

Daniel Hoornweg, Associate Professor, FESNS

Khalil El-Khatib, Associate Professor, Associate Dean, FBIT

Meghan Miller, Reference/Instruction Librarian

Akira Tokuhiro, Dean, FESNS

STUDENT SUCCESS INITIATIVE

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Student Success Innovation Fund 2018 Recipient

Enhancing Learning, Well-Being, and Reducing Attrition with Physical Activity Cohorts: A One-Year Pilot Project

The objective of this project is to provide a novel physical activity program to a subset of UOIT students and subsequently assess the impact of the program on learning outcomes, attrition, cohesion, belonging, and anxiety. There is a vast amount of research supporting the psychosocial and cognitive benefits of physical activity. Self-esteem, reduced depression and anxiety, social cohesion, and belonging are improved through physical activity. Research looking specifically at learning indicates that physical activity positively affects outcomes such as standardized tests, memory, executive functioning, and on-task behaviour.

In a post-secondary setting these benefits are captured by certain students who utilize campus recreation programming or are independently active. However, this subset of students is often unique in that they have the knowledge of the benefits of exercise, and the confidence and competence to engage in these activities. They are also typically students who are managing the challenges of post-secondary education well. This project will engage 30 students in three separate physical activity cohorts led by a coach. The cohorts of 10 will take part in 2-3 hours of exercise a week, for an academic year. Multiple measures of student success will be tracked.

Serene Kerpan, Assistant Professor, FHS

Scott Barker, Director, Athletics

Monica Jain, Director, Careers, Counselling and Accessibility

STUDENT SUCCESS INITIATIVE

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Student Success Innovation Fund 2018 Recipient

Student Life Digital Community

The university lacks a centralized space for current students to engage with each other and build community. By creating a digital space where students can engage in authentic storytelling, we can meet the needs of students that have difficulty connecting and finding information. We have struggled to communicate effectively with students, and the result is a community that is uninformed about opportunities, activities, and important information. This adds to their feeling of disconnection.

Creating a virtual space for the purpose of building community is an exciting response to this problem, and is being widely adopted across institutions. We propose building a website and concentric social media campaigns to provide space for students to tell their own stories. A simple way to think of this is a Buzzfeed-style community of practice for students.

Lesley D'Souza, Manager, Communication and Assessment, Office of Student Life

Megan Weales, Digital Community Coordinator, Office of Student Life

STUDENT SUCCESS INITIATIVE

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Student Success Innovation Fund 2018 Recipient

Mastery Modules to Enhance Student Learning in Engineering Courses

Students registered in problem solving courses (either in FEAS or other faculties) are typically given a number of assignments and quizzes to complete independently in order to demonstrate and refine their problem solving skills. It is common for these assignments to be paper-based, and questions are often taken directly from course text books. Oftentimes, students rely heavily on their peers as well as on online resources such as solution manuals, Chegg, and Course Hero to complete these assignments. As a result, assignment grades are typically high, but do not correlate with test or exam performance. With rapid and uncontrolled development of online resources, this issue increasingly challenges the validity of the course assessments. The goal of this project is to enhance student learning by creating a comprehensive web-centric database of pedagogically sound concept questions and problems along with their step-by-step solutions. This large bank of problems will allow us to emphasize a mastery approach to problem solving, in which students are required to attain a certain level of success in a concept area before moving on. Mastery modules created for first year physics courses at UOIT have been shown to have a positive affect on student learning. We propose this pilot project for FEAS; however, upon its successful completion, it can be expanded throughout all other faculties at UOIT.

Sayyed Ali Hosseini, **Assistant Professor, FEAS**

Hossam Kishawy, **Professor, Associate Dean, FEAS**

Joseph MacMillan, **Associate Teaching Professor, FSci**

Caroline Ferguson, **Faculty Development Officer, Teaching and Learning Centre**

STUDENT SUCCESS INITIATIVE

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Student Success Innovation Fund 2018 Recipient

Using Video to Support Student Understanding of Rational Numbers and Linear Algebra

Teacher understanding and confidence with mathematics are important factors contributing to students' success in mathematics. The challenge facing many Ontario elementary mathematics teacher educators is finding the time, within the Bachelor of Education program, to provide sufficient opportunities for elementary teacher candidates (TCs) to re-learn foundational mathematics concepts in ways they are required to teach.

In an effort to address the mathematical knowledge gap common among elementary TCs, I began creating web-based video clips in 2011 as an accessible learning resource to support the needs of TCs in our Bachelor of Education program. The video clips focus on developing conceptual understanding of rational numbers through exploring how to represent and compare fractions and decimals, as well as how to connect their understanding of whole number operations (+, -, x, /) to operations with rational numbers. With the availability of more advanced video software, I would like to revise and update my current collection of 35 videos and create a new collection of videos to support student conceptual understanding of introductory algebraic concepts.

Ann LeSage, Associate Professor, FEd

STUDENT SUCCESS INITIATIVE