
AGENDA
Wednesday, June 27, 2018
9:00 a.m. to 12:00 p.m.
55 Bond Street, DTB 524

No.		Topic	Lead	Allocated Time	Suggested End Time
		PUBLIC SESSION			
1		Call to Order	Chair		
2		Agenda (M)	Chair		
3		Conflict of Interest Declaration	Chair		
4		Chair's Remarks	Chair		
5		Minutes of Public Session of Meeting of May 9, 2018* (M)	Chair		9:05 a.m.
6		President's Report	Steven Murphy	5	9:10 a.m.
7		Academic Council Report	Steven Murphy	15	9:25 a.m.
	7.1	Establishment of a Bachelor of Arts (Honours) in Liberal Studies* (M)			
	7.2	Establishment of a Doctor of Philosophy in Health Sciences* (M)			
	7.3	Establishment of a Master of Science in Nursing Joint Program* (M)			
	7.4	Annual Report* (U)			
8		Co-Populous Report	Jim Wilson	5	9:30 a.m.
		Committee Reports			
9		Audit & Finance Committee (A&F)	Nigel Allen	45	10:15 a.m.
	9.1	2017-2018 Audited Financial Statements* (M)			
	9.2	Internally Restricted Funds* (M)			
	9.3	Fourth Quarter Financial Reports* (U)			
	9.4	AVIN Agreements* (M)			
	9.5	Statement of Investment Policies Amendments* (M)			
	9.6	University Risk Management Annual Report* (U)			
	9.7	New Building Project* (U)			
	9.8	A&F Annual Report (P)			

D – Discussion

M – Motion

P – Presentation

U – Update

* Documents attached

No.		Topic	Lead	Allocated Time	Suggested End Time
10		Investment Committee	Stephanie Chow	5	10:20 a.m.
	10.1	Quarterly Report			
	10.2	Annual Report (P)			
11		Governance Nominations & Human Resources Committee (GNHR)	Karyn Brearley	20	10:40 a.m.
	11.1	Academic Council Governance Committee* (M)			
	11.2	Policy Framework Review* (M)			
	11.3	2018-2019 Election Results* (M)			
	11.4	2018-2019 Board Leadership & Committee Assignments* (M)			
	11.5	GNHR Annual Report (P)			
12		Strategy & Planning Committee Report (S&P)	Bonnie Schmidt		
	12.1	Alumni Association Update (P)	Kaitlynn Gambier	5	10:45 a.m.
	12.2	S&P Annual Report (P)	Bonnie Schmidt	5	10:50 a.m.
13		Consent Agenda: (M)	Chair	5	10:55 a.m.
	13.1	Minutes of Public Session of Audit & Finance Committee Meeting of April 26, 2018*			
	13.2	Minutes of Public Session of Governance, Nominations & Human Resources Committee Meeting of April 19, 2018*			
	13.3	Minutes of Public Session of Investment Committee Meeting of February 21, 2018*			
	13.4	2018-2019 Board Schedule*			
	13.5	Appointment of Board Secretary 2018-19*			
14		Information Items (also available on the Board portal):			
	14.1	Board Chair Report* (summary of activities)			
	14.2	18-Month Follow Up Reports from Academic Council (available upon request) : <ul style="list-style-type: none"> • Master of Health Science • Master of Information Technology Security 			
	14.3	SIRC Building Construction Project*			
	14.4	Annual Policy Review and Compliance Update*			
	14.5	Annual Insurance Report*			
	14.6	CURIE 2017 Annual Report (available upon request)			
15		Other Business			
16		Adjournment (M)			11:00 a.m.
		BREAK			

D – Discussion

M – Motion

P – Presentation

U – Update

* Documents attached

No.		Topic	Lead	Allocated Time	Suggested End Time
		NON-PUBLIC SESSION (material not publicly available)			11:15 a.m.
17		Call to Order	Chair		
18		Conflict of Interest Declaration	Chair		
19		Minutes of Non-Public Session of Meeting of May 9, 2018* (M)	Chair		11:20 a.m.
		Committee Reports (confidential items only)			
20		Audit & Finance Committee (A&F)	Nigel Allen	5	11:25 a.m.
	20.1	Advancement Update* (U)			
21		Governance Nominations & Human Resources Committee (GNHR)	Karyn Brearley	10	11:35 a.m.
	21.1	External Board Member Nominations* (M)			
	21.2	2017-2018 Annual Board Practices Assessment Results* (D)			
22		Consent Agenda (M):	Chair	5	11:45 a.m.
	22.1	Minutes of Non-Public Session of Audit & Finance Committee Meeting of April 26, 2018*			
	22.2	Minutes of Non-Public Session of Governance, Nominations & Human Resources Committee Meeting of April 19, 2018*			
	22.3	Minutes of Non-Public Session of Investment Committee Meeting of February 21, 2018*			
23		For Information:			
	23.1	Annual Debenture Governance Checklist*			
	23.2	University Risk Management Annual Report – Confidential Attachments*			
24		Other Business	Chair		
25		<i>In Camera</i> Session	Chair		
26		Termination (M)	Chair		12:00 p.m.

Becky Dinwoodie, Secretary

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

Minutes of the Meeting of Wednesday, May 9, 2018

**12:30 p.m. – 2:30 p.m.
55 Bond Street, DTB 524**

GOVERNORS IN ATTENDANCE:

Doug Allingham, Board Chair
Nigel Allen, Chair of Audit & Finance Committee
Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee
Stephanie Chow, Chair of Investment Committee
Valarie Wafer, Chair of Strategy & Planning Committee
Jeremy Bradbury (*via teleconference*)
Don Duval (*via teleconference*)
Lisa Edgar
Andrew Elrick (*via teleconference*)
Thorsten Koseck
Steven Murphy, President
Dietmar Reiner
Bonnie Schmidt (*via teleconference*)
Shirley Van Nuland
Jim Wilson
Yowsif Yakub

REGRETS:

Fardan Ali
Francis Garwe
Jay Lefton
Mary Simpson
Mike Snow
Mary Steele
Noreen Taylor, Chancellor

BOARD SECRETARY:

Becky Dinwoodie, *Assistant University Secretary*

UOIT STAFF:

Robert Bailey, *Interim Provost & VP Academic*
Scott Barker, *Director, UOIT Athletics*
Jamie Bruno, *Assistant Vice-President, Human Relations*
Craig Elliott, *Chief Financial Officer*
Cheryl Foy, *University Secretary & General Counsel*

Doug Holdway, *Interim VP of Research, International and Innovation*
Andrea Kelly, *Assistant to the University Secretary & General Counsel*
Brad MacIsaac, *Assistant Vice-President, Planning & Analysis*
Susan McGovern, *VP External Relations & Advancement*
Niall O'Halloran, *Policy & Compliance Advisor*
Olivia Petrie, *Assistant Vice-President, Student Life*
Cathy Pitcher, *Assistant to the President*
Akira Tokuhiko, *Dean of Faculty of Engineering & Applied Science*

GUESTS:

Rachel Ariss, *UOIT Faculty*
Scott Blakely, *Durham College*
Lynn Cohen, *Durham Region Crisis Centre*
Mike Eklund, *UOIT Faculty*
Kaitlynn Gambier, *UOIT Alumni Association*
Denise Martins, *UOIT FA*
Christine McLaughlin, *UOIT FA*
Kim Nugent, *UOIT FA*
MeriKim Oliver, *Durham College*

1. Call to Order

The Chair called the meeting to order at 12:30 p.m.

2. Agenda

Upon a motion duly made by K. Brearley and seconded by S. Murphy, the Board of Governors approved the deferral of agenda item 11.4.

Upon a motion duly made by K. Brearley and seconded by S. Van Nuland, the Agenda was approved as amended.

(J. Bradbury, A. Elrick, B. Schmidt, D. Duval joined at 12:31 p.m.)

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Chair's Remarks

The Chair thanked everyone for joining the meeting on a sunny afternoon. He invited guests to introduce themselves.

The Chair discussed the President's Installation that took place the previous day. He thanked the Installation Organization Team for coordinating an excellent event. V. Wafer remarked that she enjoyed the President's speech tremendously. As a member of the Committee to Recommend a President, she was proud of the committee's selection. D. Duval echoed V. Wafer's comments. He also noted that R. Bailey did an excellent job as the Master of Ceremonies. All constituencies were well represented at the event. D. Duval also commented that the production of the online streaming was well done.

The Chair encouraged everyone to actively engage in the meeting. He commented on the pilot format of the agenda, which combines the public and non-public sessions into one agenda. He also shared that he is hoping to speak to each governor individually to obtain feedback from them over the coming weeks.

5. Approval of Minutes of the Meeting of March 7, 2018

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

6. President's Report

The President discussed his Installation ceremony, which was a humbling and memorable experience. He thanked the Installation Organization Team for coordinating and executing the event. He enjoyed the opportunity to reflect on what he has been hearing during his first few months. It has been a steep learning curve, but he is enjoying it. He will continue to meet with internal members of the university community over the summer.

(J. Bruno joined at 12:41 p.m.)

Council of Ontario Universities (COU)

The President discussed the recent COU meeting, which was hosted by the University of Windsor. The upcoming provincial election was discussed and the possible consequences for the postsecondary sector. While it is difficult to predict what will happen, the COU is trying to develop an all-party strategy. The COU also received a presentation on free speech from a former President of the University of California, Berkeley. The key message was promoting free speech in a way that tries to keep people feeling psychologically safe in a charged environment.

Moving Ground Plane (MGP)

The President confirmed that the university has received provincial funding towards the installation of the MGP in the amount of \$1.5M. He thanked the Board's Executive Committee for meeting on short notice to approve the provincial transfer agreement. The university is moving towards being shovel-ready in order to help secure federal funding for the project. He reported on a meeting he had recently with the Minister of Innovation, Science and Economic Development regarding the possibility of obtaining FedDev funding. The installation of the MGP would provide UOIT with a wind tunnel that would be one of only a few in the world. He

will continue to keep the Board apprised of the status of the MGP project. He responded to questions from the Board.

7. Community Presentations

Durham Rape Crisis Centre

L. Cohen from the Durham Rape Crisis Centre (DRCC) presented to the Board. She thanked the Board for inviting the DRCC to speak regarding sexual violence and the We Believe Survivors Campaign (WBS). She distributed material to the Board, including information regarding the We Believe Survivors Campaign, the score card for the university's Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence (SVP), and an open letter regarding the Policy.

L. Cohen discussed the DRCC's involvement in the development of the SVP, as well as their participation as a community member of WBS. She emphasized the importance of students being aware of the community resources available and how to access support from those resources. It is also important to have individuals with expertise responding to disclosures of sexual assault. The DRCC has a high level of expertise with respect to working with survivors of sexual violence.

While they are not policy development experts, they believe the SVP should be clear, transparent, consistent and inclusive. She highlighted that the SVP should include education regarding rape culture. It is important to understand how rape culture contributes to the prevalence of sexual assault in society. L. Cohen also discussed the importance of the initial reaction to a survivor's disclosure and how it can influence the survivor's experience going forward.

L. Cohen summarized the nature of DRCC's relationship with Trent University and the types of services they provide to Trent. DRCC would welcome the opportunity to further develop the partnership/relationship with UOIT. She responded to questions from the Board. She confirmed that the trend is an increase in disclosures, which is likely a result of efforts like the #MeToo movement and #We Believe Survivors. She also noted a backlash as a result of the campaigns. She discussed the challenges for students who are away from home for the first time.

The Chair thanked L. Cohen for her presentation.

Vaso's Field Presentation

The Board received a presentation regarding the Vaso's Field upgrades. The project is an example of the Durham College (DC) and UOIT partnership, which benefits all of the students on campus. S. Barker provided an overview of the development of the project. Until the conversion of the Campus Field House, the campus did not have a recreational space for students. S. Barker reviewed the key objectives of the project, including providing students

with first class athletic facilities and engaging students on campus to be physically active. Improving the campus' recreational facilities will also likely have a positive effect on student recruitment.

S. Barker summarized the scope of the project, which will include a full size FIFA regulation multipurpose turf field for students. It will be the first such field in Canada. There will be 8 change rooms for varsity, recreational and community users. It will also have a state of the art press box and VIP room. S. Barker responded to questions from the Board. He advised that they have been working with student groups to provide facilities without increasing student fees. S. Chow expressed her support for the project as an alumna – having the facilities will encourage students to stay on campus on weekends. It also benefits the university's athletes and gives our students an opportunity to support the teams as fans.

8. Academic Council Report

8.1 Centre on Hate, Bias and Extremism

The President presented the proposal for the Centre on Hate, Bias and Extremism (CHBE). He commented that the proposed CHBE is timely and has the opportunity to be impactful as a research centre. The CHBE will assemble internationally recognized researchers located at UOIT along with academic and community partners locally and globally to research and counter hate, bias and extremism to promote an equal, inclusive and non-discriminatory society. The mission of the Centre will be to advance awareness, understanding and prevention of hate, bias and extremism by providing research that will inform evidence based policies and practices to promote a just and equitable society for all.

It is important to note that the Centre will also support UOIT's strategic "vision" and "mission" while advancing research, teaching and knowledge mobilization activities that complement the intellectual and pedagogical work done by the Faculty of Social Science & Humanities and across UOIT faculties. UOIT's strategic vision is to "advance the discovery and application of knowledge that accelerates economic growth, regional development and social innovation and inspires graduates who will continue to make an impact on the world, as it is and as it will be." The Centre will support this vision by pursuing, generating and circulating knowledge about the economic, political, technological and cultural dimensions of hate, bias and extremism in society while using this knowledge to understand and change the world around us for the better.

The President answered questions from the Board. A question was raised about the safety of individuals working at the Centre. The President responded that safety measures would be in place when establishing the Centre.

Upon a motion made by S. Murphy and seconded by S. Van Nuland, pursuant to the recommendation of the Academic Council, the Board of Governors approved the establishment of the Centre for Hate, Bias and Extremism, as presented.

8.2 Bachelor of Technology in Sustainable Energy Systems

The President presented the proposal for the establishment of the Bachelor of Technology in Sustainable Energy Systems. UOIT's vision advances the discovery and application of knowledge that accelerates economic growth, regional development and social innovation and inspires graduates to continue to make an impact on the world, as it is and as it will be. A key mission objective seeks to develop academic and research collaborations with industry and community that stimulate and enhance the region and university at home and abroad. The mission of the Faculty of Energy Systems & Nuclear Science is to deliver academic programs that prepare graduates for leadership in the energy sector. A Bachelor of Technology in Sustainable Energy Systems program will support the mandate of the Faculty and complement its other energy-focused programs. The Bachelor of Technology program will ensure graduates possess a deep familiarity with the technologies associated with energy systems and various technological options, as well as the skills to continually analyze new energy technologies and changes to energy systems, in terms of their techno-economic and environmental performances. The program will fill a gap for the type of students who will be enrolling in it. The President and the Dean of the Faculty of Energy Systems & Nuclear Science responded to questions from the Board.

There was a discussion regarding opportunities for the program to become a bit more innovative. A. Tokuhiko advised that there is a need in the working world for people who have an understanding of energy systems but who are not engineers. At a high level, the goal is to educate an energy analyst – someone who understands options and scenarios in light of societal energy transformation. The program will start in the Fall 2019.

Upon a motion duly made by S. Murphy and seconded by L. Edgar, pursuant to the recommendation of the Academic Council, the Board of Governors approved the establishment of the proposed Bachelor of Technology (Honours) in Sustainable Energy Systems program, as presented.

9. Co-Populous Report

J. Wilson delivered the Co-Populous Report. At the last DC Board meeting, they received student artificial intelligence project presentations. The DC Board also received an update on capital projects – the construction of the Centre for Collaborative Education is on track to open in September 2018. The capital budget for 2018-2019 was also presented.

Committee Reports

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

N. Allen delivered the A&F Report. At the last meeting, A&F received an update on the status of the installation of the MGP, to which the President spoke earlier. The committee also received a SIRC building project update, which is included in the meeting material for

information. There remain some builder's warranty items to be rectified. The final SIF audit will be performed by KPMG during their UOIT year-end review. Upon receipt of the final audit, the Ministry will issue a Close-Out report on the project.

Contract Management & Signing Authority Policy

The President also provided an update on the review and amendment of the Contract Management and Signing Authority Policy. Louis Charpentier, an external governance consultant, has conducted a lot of consultation and work on the policy and it is in the final stages of review. The purpose of the policy is to ensure the appropriate legal review of contracts and that signing authorities are in place across the institution.

10.1 2018-2019 Budget

N. Allen acknowledged the work of C. Elliott and his team in developing the budget. R. Bailey emphasized the efforts to integrate the budget with strategic planning. He discussed the consultation process with Academic Council. While it is a responsibility set out in the Terms of Reference of the Academic Council Executive Committee (ACX), ACX agreed several years ago that the budget consultation should happen with Academic Council as a whole. R. Bailey also discussed the upcoming review of the Terms of Reference of all Academic Council committees as part of the By-law No. 2 implementation over the next year.

R. Bailey presented the funding for Strategic Initiatives in 2018-2019, as well as the opportunities for future funding. With respect to the opportunities for future funding, he clarified that they are investing in those areas now, but there are opportunities to do more in those areas.

C. Elliott reviewed the key budget assumptions. The student to faculty ratio will continue to improve (will be 29:1 if all positions are filled). He presented the budget contingency numbers – reduced from \$4.6M to \$3.8M. He walked through the details of the draft budget and noted it is a balanced budget. Under the corridor funding model, growth in revenue will primarily come from increases in tuition as opposed to growth. C. Elliott also presented the proposed restricted fund schedule.

C. Elliott and R. Bailey responded to questions from the Board. C. Elliott explained where the savings came from in the SIRC construction project. He also discussed the 10-year forecast.

Upon a motion duly made by N. Allen and seconded by J. Wilson, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the 2018-2019 budget, as presented.

10.2 2019-2020 Tuition & Ancillary Fees

N. Allen presented the 2019-2020 tuition fees report, which was included in the meeting material. The provincial government has established a tuition fee framework that expires in 2018. This framework regulates all publically funded programs and allows for tuition fee

differentiation based on program and program year. As a new framework has not been released, the previous limits guide the proposed 2019-2020 tuition fee increases. If there are alterations, they will come back to the Board of Governors as required.

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

N. Allen also presented the 2019-2020 ancillary fees report. From 2012-2016, UOIT did not increase any of the internal unit fees as the university had the highest ancillary fees in the province and was monitoring the rate carefully. The categories that increased were only those mandated by outside vendors (e.g. health plans, UPASS) or offered in conjunction with Durham College (e.g. Campus Recreation and Wellness). He also summarized the main reasons for the proposed rate. Last year and this year, the proposed increase is ~1.3%. B. MacIsaac confirmed that the 1.3% increase is below the system average of approximately 1.9%

Upon a motion duly made by N. Allen and seconded by T. Koseck, pursuant to the recommendation of the Audit & Finance Committee and subject to the negotiation of the fees of the UPASS and Health Plan, the Board of Governors approved the 2019-20 ancillary fees, as presented.

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

K. Brearley delivered the GNHR report. At the committee's last meeting, the President provided an update on the status of the university's Executive Compensation Plan. As reported at the last Board meeting, the university received the Ministry's permission to post the draft executive compensation framework for the mandatory 30-days public consultation period. The university completed its public consultation and is currently awaiting the Ministry's sign off for the plan to be presented to the Board for approval. The finalization of the plan is important in light of the university's upcoming recruitment of a Provost and Vice-President Academic, and Vice-President Research. Given the writ of elections has been issued, it is unlikely that the university will receive the Ministry's approval of the plan in the near future.

Board Recruitment

The President also made some recommendations to the committee with respect to Board recruitment and renewal, with a focus on continuing to improve diversity and Board engagement. The President's recommendations were well-received by GNHR. The Board has a considerable number of governors with terms ending in August. Therefore, GNHR will be pursuing a more proactive recruitment process over the summer. We view this as a very strategic initiative that will help position the Board and UOIT for future success. K. Brearley added that there is a continued focus of the government on gender balance and diversity on boards. The President commented that the recruitment process will also serve as a public relations and friend-raising exercise.

Annual Board Practices Assessment

In accordance with GNHR's Terms of Reference, the committee is responsible for developing, implementing & monitoring procedures for assessing the effectiveness of the Board and its committees. The committee has instructed the Office of the University Secretary & General Counsel to conduct the Annual Board Practices Assessment by e-mail again this year, since there was a good response rate (83%) using that method last year. In addition to evaluating the Board's effectiveness, the information collected from the assessment is exceptionally helpful in identifying the upcoming year's governance priorities. The assessment form will be distributed by e-mail by the end of this week. K. Brearley asked governors to make completing the assessment form a priority.

11.1 Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence (SVP) – Annual Report

K. Brearley provided a brief introduction of the SVP annual report and invited R. Bailey to discuss the report. R. Bailey discussed the implementation and effectiveness of the SVP. He provided additional details regarding the membership of the Advisory Committee on Student Sexual Violence Prevention and Support, as well as the mandate of the committee. The goal is to have "more ears than mouths" to listen and absorb information from experts. O. Petrie advised that they are focusing on supporting students who have experienced sexual violence (2 more counsellors have been added to the mental health services team) and educating students about the SVP.

(A. Elrick left the meeting at 2:30 p.m.)

O. Petrie also discussed some of the initiatives taking place on campus with respect to educating students and raising awareness. The Board asked questions about measuring the effectiveness of the SVP. R. Bailey discussed the challenges associated with metrics. The report will be a helpful tool in assessing implementation of the SVP since it will be presented to the Board annually and can be compared to previous years' results. He added that the DRCC scorecard contains valuable information and can provide guidance when updating the SVP.

11.2 Policy Framework Review

C. Foy summarized the report regarding the Policy Framework review. She confirmed that the revised Policy Framework will be presented to Academic Council and GNHR for recommendation. The review is largely a good news story and was an exercise in change management. The feedback is that the Policy Framework is working and is providing necessary guidance to the university community. C. Foy discussed the review process, including the extensive consultations. She added that the Policy webpage now has a feature that allows anyone to comment on any policy at any time online. The feedback will be filtered to the appropriate policy owner.

C. Foy shared that the Delegation of Authority Chart has received rave reviews. D. Reiner commented that he also likes the Chart. C. Foy summarized the comments received on the policy framework. She highlighted how the Policy Framework aligns with the Board's duty to consult under the *UOIT Act*.

K. Brearley acknowledged the tremendous amount of work put into the review by C. Foy and N. O'Halloran.

11.3 Governance & Nominations Committee of Academic Council

K. Brearley provided a summary of the background to the development of the Terms of Reference for a Governance & Nominations Committee for Academic Council and invited the Board's feedback.

11.4 2018-2019 Election Results - DEFERRED

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

V. Wafer delivered the S&P Report. She is happy to report that at the last committee meeting, S&P reviewed and recommended the endowment disbursement of up to \$750,000 for distribution as student awards in 2018-2019, which is included as part of the consent agenda for approval. The committee also received an educational presentation on the objectives and responsibilities of the external relations team, which works to cultivate and strengthen government and community relationships. S&P received a presentation on integrated planning and its relationship to the budget, which was very helpful in light of today's budget presentation.

Board Retreat

Next week's Board Retreat will be focusing on strategic risk and decision-making, and enhancing the Board's ability to foster strategic decision-making incorporating risk considerations. The Retreat has been designed to maximize governor participation and to increase the Board's understanding of its role in strategic risk oversight. In order to promote an interactive retreat, there will be materials distributed in advance. V. Wafer asked the Board to please review the materials in advance, as this will help foster discussion and allow governors to get the most out of the day.

If the governors would like copies of any of the materials presented at the last S&P meeting, please contact the Office of the University Secretary.

13. Consent Agenda:

Upon a motion duly made by V. Wafer and seconded by J. Wilson, the Board of Governors approved the following items on the Consent Agenda:

13.1 Minutes of Public Session of Board of Governors Meeting of December 7, 2017

- 13.2 Minutes of Public Session of Audit & Finance Committee Meeting of February 21, 2018
- 13.3 Minutes of Public Session of Governance, Nominations & Human Resources Committee Meeting of February 7, 2018
- 13.4 Minutes of Public Session of Strategy & Planning Committee Meeting of January 24, 2018
- 13.5 Bank of Montreal Banking Resolution
- 13.6 Endowment Disbursement

14. Information Items:

14.1 Final Assessment Summary Reports from Academic Council (available upon request):

- Bachelor of Science in Health Physics and Radiation Science
- Bachelor of Science in Nursing
- Bachelor of Arts in Communication and Digital Media Studies
- Master of Science and Doctor of Philosophy in Modelling and Computational Science

14.2 18-Month Follow-Up Reports from Academic Council (available upon request):

- Bachelor of Arts in Legal Studies
- Bachelor of Science in Health Physics and Radiation Science
- Bachelor of Science in Biological Science
- Master of Science and Doctor of Philosophy in Applied Bioscience

14.3 SIRC Building Construction Project

14.4 Board Retreat: May 16 & 17, 2018

14.5 Convocation: June 7 & 8, 2018

15. Other Business

16. Adjournment

Upon a motion duly made by T. Koseck and seconded by D. Reiner, the public session adjourned at 3:02 p.m.

Becky Dinwoodie, Secretary



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

Financial Impact ☒ Yes ☐ No

Included in Budget ☒ Yes ☐ No

TO: Board of Governors

DATE: June 27, 2018

PRESENTED BY: Steven Murphy, President and Vice-Chancellor

SUBJECT: Establishment of a Bachelor of Arts (Honours) in Liberal Studies

BOARD MANDATE:

The Board has the authority to establish academic, research, service and institutional policies and plans under section 9(b) of the *UOIT Act*.

In accordance with Article 8.9 (b)(i) of By-law Number 1, the Academic Council “shall advise the Board on ... the establishment and termination of degree programs”.

Academic Council hereby recommends for approval by the Board of Governors the attached program proposal for the establishment of the **Bachelor of Arts (Honours) in Liberal Studies**.

BACKGROUND/CONTEXT & RATIONALE:

The Faculty of Social Science and Humanities has developed a unique cross-disciplinary 120-credit Liberal Studies Honours program that includes a college-university pathway and allows the university to foster student success in a new way. Structured with required first year courses common to all FSSH programs, two compulsory Liberal Studies courses and many elective choices, students will have both the guidance and flexibility in course choices to develop as self-directed, lifelong learners. The program will be attractive to a number of students, including college students from general arts and specialized diploma programs who wish to complete an undergraduate degree, and

current UOIT students seeking to broaden their focus from a STEM program or different FSSH major.

UOIT's specialized set of course offerings (compared to larger universities with similar programs) will allow Liberal Studies students to have a focused program that integrates a portfolio-based capstone project and affords reflexivity about course content and the development of artefacts demonstrating skills learned. Students will develop a range of skills with applicability across a number of technical domains.

RESOURCES REQUIRED:

An analysis of projected intake and enrolment can be found on page 8 of the attached proposal and anticipates a total enrolment of 98 students at maturity. Information on current and future human and physical resources begins on page 22. It is anticipated that there will be no additional faculty members required for the first two years of the program. In the third year, there is a plan to hire a new faculty member based on the projected course load and student enrolment. Additional non-academic personnel hours will be required to provide sufficient academic advising support. A detailed business plan is included beginning on page 25. The proposed start date for this program is September 2019; however, its introduction will be determined by the academic leadership to ensure appropriate resources are in place to support students and the academic mission of the university.

IMPLICATIONS: Not applicable

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

This program is in line with the University's mission "to provide career-oriented university programs and to design and offer programs with a view to creating opportunities for college graduates to complete a university degree" (UOIT Act, 2002). As the trend of pursuing multiple, varied careers over the course of one's lifetime becomes the new normal this mission means equipping students with the skills and attributes that they will need to adapt and thrive in a dynamic employment environment. The proposed program will provide skills in critical thinking, written and verbal communication, social understanding and critical self-reflection that will afford lifetime adaptability in the workforce.

Given the complex and ever-changing relationship between scientific, technological, and economic challenges on the one hand, and political, social, and cultural challenges on the other, the knowledge, skills and ability to understand and address that complexity are more important assets than ever before (Susskind & Susskind, 2015; Nussbaum, 2010). The creation of a new Liberal Studies program is at once both timely and valuable. Not only does it highlight the symbiotic relationship of research, teaching and service within and across faculties at this university, it offers current and prospective students the opportunity to participate in the proud tradition of innovative, real-world engagement through an integrative, self-directed undergraduate program that builds on the strengths of science, technology, engineering, arts and mathematics at UOIT.

ALTERNATIVES CONSIDERED: Not applicable

CONSULTATION:

Procedures for new programs involve six components: the development a proposal brief by the initiating Faculty; external evaluation to provide an assessment of program quality; internal response to assessment; approval of the proposal; submission of the proposal to the Quality Council and MAESD as appropriate, and subsequent review of the program as part of the university's program review process.

The final proposal was approved by the Faculty of Social Sciences and Humanities in November 2017. Subsequently, it was reviewed by the Curriculum and Program Review Committee in January and April 2018 and by Academic Council in May 2018.

COMPLIANCE WITH POLICY/LEGISLATION:

The proposal was prepared in accordance with the requirements of the University's policies and procedures on new program submissions as outlined in the Institutional Quality Assurance Handbook (UOIT Academic Council revised June 2011).

NEXT STEPS:

Subsequent to the Board's approval, the proposal will be submitted to the Quality Council and Ministry of Advanced Education and Skills Development for final approval to launch the program.

MOTION FOR CONSIDERATION:

Pursuant to the recommendation of the Academic Council, the Board of Governors hereby approves the establishment of the proposed Bachelor of Arts (Honours) in Liberal Studies program, as presented.

SUPPORTING REFERENCE MATERIALS:

- Bachelor of Arts (Honours) in Liberal Studies program proposal



Liberal Studies

Faculty of Social Science and Humanities

April 5 2018

Executive Summary

The Faculty of Social Science and Humanities at the University of Ontario Institute of Technology (UOIT) is proposing a 120 credit Liberal Studies Honours program that (1) includes a college-university pathway, (2) presents a unique opportunity for students to explore and develop knowledge and skills across disciplines, and (3) allows the university to foster student success in a new way. Housed in the Faculty of Social Science and Humanities, the program is designed to equip students with the skills and knowledge necessary to adapt to and thrive in a dynamic employment environment. Structured with required first year courses common to all FSSH programs, two compulsory Liberal Studies courses and many elective choices, students will have both the guidance and flexibility in course choices to develop as self-directed, lifelong learners. The program will be attractive to:

- College students bridging from general arts and specialized diploma programs;
- Current UOIT students seeking to broaden their focus from a STEM program or different FSSH major;
- Secondary students from Oshawa and the Durham region interested in a general liberal arts program;
- Students who may be “undecided” in their future education or career plans;
- Students who are looking to transfer from a program they are unsuited for to a Liberal Studies program with minimal loss of credits and time.

Establishing the Liberal Studies program at UOIT reflects and advances an understanding that research and teaching in the social sciences and humanities inform and benefit from research and teaching in science and technology. UOIT’s specialized set of course offerings (compared to larger universities with similar programs) will allow Liberal Studies students to have a focussed program that integrates a portfolio-based capstone project and affords reflexivity about course content and the development of artefacts demonstrating skills learned.

Students will develop a range of skills (critical thinking, written and verbal communication, social understanding and critical self-reflection) with applicability across a range of technical domains. A technologically-enriched learning environment allows students the opportunity to acquire the inter-disciplinary knowledge, skills, and attributes necessary to respond to emerging and future challenges on both global and local levels. Therefore, by building on UOIT’s existing strengths, the Liberal Studies program enables the UOIT to continue to grow and adapt in fulfilling its special mission “to provide career-oriented university programs and to design and offer programs with a view to creating opportunities for college graduates to complete a university degree.”

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1. INTRODUCTION

a. Background

Rationale

The Faculty of Social Science and Humanities at the University of Ontario Institute of Technology (UOIT) is proposing a 120 credit Liberal Studies Honours program that (1) includes a college-university pathway, (2) presents a unique opportunity for students to explore and develop knowledge and skills across disciplines, and (3) allows the university to foster student success in a new way. This program is in line with the legislatively enacted “special mission of the university to provide career-oriented university programs and to design and offer programs with a view to creating opportunities for college graduates to complete a university degree” (UOIT Act, 2002). As the trend of pursuing multiple, varied careers over the course of one’s lifetime becomes the new normal, “providing career-oriented university programs” means equipping students with the skills and attributes that they will need to adapt and thrive in a dynamic employment environment (Conference Board of Canada, 2018; Ministry of Advanced Education and Skills Development, 2018; Finnie, 2016; Adamuti-Trache, 2006). The proposed program will provide skills in critical thinking, written and verbal communication, social understanding and critical self-reflection that will afford lifetime adaptability in the workforce.

Offering a Liberal Studies program at UOIT reflects the insight increasingly acknowledged by researchers, university administrators, and employers that it is not merely the university graduate’s overall sum of knowledge, but the capacity to increase, deepen, distribute, and apply that knowledge, which matters most in an ever-changing employment market (Manyika, 2017). Furthermore, given the complex and ever-changing relationship between scientific, technological, and economic challenges on the one hand, and political, social, and cultural challenges on the other, the knowledge, skills and ability to understand and address that complexity are more important assets than ever before (Susskind & Susskind, 2015; Nussbaum, 2010). For example, with advances in Artificial Intelligence transforming the face of industry, questions about the social dimension and human agency have assumed new urgency and importance (Stone et al, 2016). In this context, creating a new Bachelor of Arts (Honours) program in Liberal Studies at UOIT is at once timely and valuable. Not only does it highlight the symbiotic relationship of research, teaching and service within and across faculties at this university, it offers current and prospective students the opportunity to participate in the proud tradition of innovative, real-world engagement through an integrative, self-directed undergraduate program that builds on the strengths of science, technology, engineering, arts and mathematics at UOIT.

Bookended by introductory and capstone courses, and with regular integrated opportunities for personalized institutional guidance and support, the Liberal Studies honours degree program will afford students flexibility in deciding which courses to take among present offerings at the university. Liberal Studies places priority on

students developing as self-directed, lifelong learners. The following components of the program support the accomplishment of this goal:

- Materials, instructional approaches and evaluation methods in the introductory and capstone Liberal Studies courses have been designed in accordance with the principle of constructive alignment to advance the kind of long-term, self-directed learning crucial for professional, civic and personal growth (Anderson et al, 2001; Boud & Falchikov, 2006; Goff et al, 2015; Merritt, 2010; Miller & Morgaine, 2009; Rhodes, 2011; Sum & Light, 2011; Yancey, 2009).
- The Faculty of Social Science and Humanities' well-established Practicum program grants students the opportunity to engage in experiential learning and discover what the right career path is for them, while building their professional network (Bay, 2006; Ikononopoulos et al., 2016; Johnson & Luhman, 2016; Park et al, 2017).
- Individually tailored academic advising and supports will provide students with the necessary guidance to pursue their own unique program of study; they may choose among courses in the social sciences and humanities, as well as the natural sciences, engineering, business and information technology (Drake et al, 2013; Egan, 2015; Ledwith, 2014; Mohamed, 2016).
- A technologically-enriched learning environment allows students to acquire the inter-disciplinary knowledge, skills, and attributes necessary to respond to emerging and future challenges on both global and local levels (Kaur, 2013; Kay, Benzimra & Li, 2017; Kay & Lauricella, 2014; McKnight, 2016). This is in keeping with the university's values, and reflects the FSSH's commitments to increasing online and hybrid opportunities for students on top of high-quality face-to-face instruction.

The Liberal Studies BA promises to attract interest from an array of students, including college students bridging from general arts and more specialized diploma programs; current UOIT students seeking to broaden their focus from a STEM program or a different FSSH major; and secondary school students in Oshawa and the Durham Region wishing to pursue a general liberal arts program close to home. All of these students will discover in Liberal Studies the intellectual resources to plot their academic trajectories in light of their interests and future aspirations. Establishing a Liberal Studies program will enable students to pursue an array of courses within and beyond the Faculty of Social Science and Humanities and will provide a new opportunity for bridging students who are interested in a more integrated, less subject-matter-exclusive undergraduate program of study (King et al, 2007).

At present, the FSSH offers students five discipline-specific program majors: Criminology and Justice, Communications and Digital Media Studies, Forensic Psychology, Legal Studies, and Political Science. Building on the success of our more specialized majors, this program will offer the opportunity to learn critical thinking skills within the context of a wider variety of subject areas than can be provided in any one disciplinary program.

A holistic, interdisciplinary, inquiry-driven approach already animates the curricular design and pedagogy deployed in each of the existing majors. Questions of political

authority, economic power, legal process, psychological development, symbolic meaning—and a host of other issues pertaining to how human beings endeavour to order their lives, while finding their lives ordered or disordered by forces beyond their direct control—inform the existing pedagogy. The Liberal Studies program will capitalize on the ways in which the disciplinary strengths of the university as a whole, and the FSSH in particular, overlap with and complement each other. Moreover, the new degree program will reinforce the Faculty's goal of creating awareness and compassion in the name of social justice, fostering civic engagement, and nurturing the needs of the 'whole student'. Crucially, the program will provide an outlet for students wishing to pursue academic interests and professional aspirations that cut across the disciplinary confines of the FSSH's existing programs. Furthermore, because the Liberal Studies program will permit students transitioning to a new program to have their existing university course credits recognized, it offers a valuable dimension to a comprehensive student success strategy, while highlighting and developing the commitments to a liberal education and a rigorous interdisciplinary academic culture that the FSSH's mission reflects. Completing a Bachelor of Arts Honours degree, featuring a program of liberal studies that students tailor to their own interests and ambitions, will endow graduates with the cross-disciplinary higher education characteristic of versatile, self-directed citizen-leaders in the 21st Century (Robinson, 2017; Nussbaum, 2010; 1997; Wilson, 2012; O'Grady & French, 2000).

Program abstract

Liberal Studies is a 120-credit, Honours Bachelor of Arts program. The program satisfies the breadth criteria of the FSSH set of Bachelor of Arts degree requirements, which includes completion of a common first year and at least one research methods course. In addition to a common first year comprised of courses from the existing majors in the Faculty, the Liberal Studies program includes two newly-created compulsory courses: a second year course, *Introduction to Liberal Studies*, and a fourth year *Liberal Studies Capstone*. Further courses designed for the Liberal Studies program will be developed as the program grows. To graduate from Liberal Studies, students must also complete at least one other 4000-level course beyond LBA4000U Liberal Studies Capstone and at least one humanities-oriented course. With counsel from the Liberal Studies director and designated Academic Advising staff members, students select from a range of courses at the university to tailor an interdisciplinary program of study that reflects their academic interests. Students must have the relevant prerequisites to enrol in the courses they wish to take. They must also complete no more than 42 credit hours (including the common first-year courses) at the 1000-level, at least one Methodology course, and at least 36 credit hours at the 3000 or 4000-level. Students with the requisite GPA and fourth year standing may also enrol in the Practicum (SSCI 4098U), an elective course with a placement and in-class component. The Practicum represents 100 hours of placement (unpaid) over the course of one academic semester (Fall or Winter). The Practicum office serves the FSSH as a whole and has developed a wide range of placement opportunities. These cut across domains such as communications and digital media, law, politics, social programming, criminal justice, NGO work, and the research and development sectors. The Practicum placement offers the opportunity to gain relevant skills and develop realistic expectations of the workforce before graduation, while gaining a broader understanding of career options; this not only allows students to further their self-

directed learning through the experiential and critically reflective elements of the Practicum course, it also offers students in Liberal Studies concrete opportunities to apply their knowledge and skills in a workforce environment. Thus, the Liberal Studies program builds on the disciplinary strengths of the university as a whole, and the course offerings, programming and academic supports of the FSSH in particular, to prepare graduates for a competitive and changing job market and the responsibilities of 21st Century citizenship.

b. How the program fits into the broader array of program offerings

The Liberal Studies program reflects the underlying curricular and pedagogical commitments of the existing programs within the Faculty of Social Science and Humanities, while offering a unique stream of academic pursuit that encompasses a potentially broader range of subject matter, with a more deliberate focus on empowering students as agents in customizing their undergraduate program of study. The second-year introductory course and fourth-year capstone course are designed to equip students to determine how their specific subject choices relate to traditional and contemporary approaches of framing a liberal education.

c. Student Demand

Current UOIT students as well as prospective bridging students from Durham College have expressed interest in this type of program. These students seek the opportunity to pursue a broader area of study than current BA and BSc offerings at the university allow. Those transferring into Liberal Studies will have more of their existing credits count toward their degree than if they were to enroll in one of the FSSH's existing five majors. Thus, the new program has the potential to serve as an important student success tool for the university as a whole. No longer will students seeking to attain an undergraduate honours degree in four years have to switch universities when they want to transfer out of their original program of study. Recent American research has shown that between 20% and 50% (depending on their field of study: 52% of students originally enrolled in mathematics, 26% of students in health science, and 22% in non-STEM fields) of undergraduate students will change their major in their first three years of study (National Centre for Educational Statistics, 2014). Since the higher rate of change tends to be amongst students in STEM fields, a program that allows students to transfer within UOIT to another more suitable program is in the best interests of both students and the university. In addition, one study suggests that allowing students to delay the choice of a major or to have a simple pathway for changing majors enhances their success in university and to graduate on time (Straumsheim, 2016).

Furthermore, adding a Liberal Studies program to the UOIT course calendar may attract students to the FSSH who are undecided about embarking on a four-year program in one of the existing majors. In the United States, between 20% and 50% of students enroll in a four year baccalaureate program as "undecided" about their major (Freedman, 2013; National Centre for Educational Statistics, 2014). While UOIT does not have an "undecided" option, all first-year FSSH students, regardless of their major, take a common first year, which allows for easier transfer between programs. Liberal Studies students may, in the course of the common first year, become interested in pursuing a more specialized program of study after all. Thus, although some students may choose to transfer from their current programs of study to pursue a Liberal Studies degree, the inverse is also true. The Liberal Studies

program signals to prospective applicants that the FSSH offers a liberal education through a variety of disciplinary frameworks.

Projected enrolment levels for the first five years of operation

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

YEAR OF OPERATION	Yr1	Yr 2	Yr 3	Yr 4	TOTAL ENROLMENT	Maturity
2019	30	0	0	0	30	
2020	30	24	0	0	54	
2021	30	24	23	22	77	
2022	30	24	23	22	98	Yes
2023	30	24	23	22	98	Yes

d. Evidence of the need for graduates of the programs.

Graduates from the Liberal Studies program will have a wide and solid academic foundation, preparing them for a range of professions and employment opportunities, as well as further education in areas including:

Administrative officers, College Instructor, Community and Social Service Worker, Correctional Officer, Educational Counsellor, Entrepreneur, Fundraiser, Human Resource Manager, Mediator, Lawyer, Librarian, Researcher, Retail Manager, Sales and Purchasing Agent, Social Worker, Police Officer, Probation Officer, Public Relations Officer, Public Servant, Elementary School Teacher, Writer / Editor

Although further specialization and accreditation may be required to work in many of these areas, the Liberal Studies graduate is poised to succeed both in pursuing further training and in performing the job itself. That is because the skills in critical and creative thinking, oral and written communication, as well as engagement with a range of subject matters have wide-ranging transferability and application. For example, the job requirements that the Ontario government outlines for Human Resource Managers include: “Leadership skills, organizational ability, problem solving, planning skills, communications and negotiations skills, and strong interpersonal relations skills” (https://www.app.tcu.gov.on.ca/eng/labourmarket/ojf/profile.asp?NOC_CD=0112). Similar attributes are essential for managerial positions across a range of domains, as well as when operating a small business or working as a self-employed professional or consultant. Similarly, the breadth of courses students will have the opportunity to take will position them for work in social justice organizations, such as NGOs and charitable organizations, which tend to have few employees who are expected to take on wide ranging tasks as needed. While there are variations in starting salaries and career path depending on field of study, graduates of social science and humanities programs tend to experience more stable earnings over time than do graduates of STEM disciplines (Finnie et al., 2014). However, because social science and humanities graduates may not always see a direct path from degree to career in the same way that a nursing or engineering student might, the Liberal Studies program will use a portfolio-based model starting in second year that is designed to allow students to critically reflect on the skills being developed and knowledge being

acquired. By the end of their program, Liberal Studies graduates will have both a critical understanding of their skills and a portfolio of artefacts demonstrating those skills.

e. Duplication

A number of universities in Ontario offer programs similar to the proposed Bachelor of Arts (Honours) in Liberal Studies. Only a handful offer a BA in “Liberal Studies”; however, some version of a “general arts BA” is a staple of nearly all university curricula in the province. Review of these programs reveals different types of nomenclature, courses offerings, and degree requirements. Nearly all program names feature some combination of “general”, “liberal”, or “interdisciplinary”, on the one hand, and “arts”, “humanities” and/or “social science”, on the other.

UOIT has a Faculty of Social Science and Humanities, consisting of five discrete programs, with important intellectual overlaps, synergies and differences. For example, Criminology and Justice, Forensic Psychology, Legal Studies, Political Science, and Communication and Digital Media Studies (CDMS) all bear some relationship to the state legal system. At the same time, distinct modes of inquiry and methods of research characterize each discipline. The proposed Liberal Studies program aims to enable students to glean insight into how these different approaches to organizing and expanding knowledge may inform how one understands oneself, society, and the world.

Each program, from its inception, has had roots both in an evolving, multi-faceted professional domain and in a rich, complex, shifting field of scholarship and learning. There is a wide array of jobs associated with crime prevention, the justice system, forensic psychology, law, politics, policy, communications, and digital media. There is an even greater gamut of academic inquiry into each of these subjects, as well as their various inter-relationships. The Liberal Studies program affords students the opportunity to explore the inter-relationships and differences more closely because of the interdisciplinary nature of the program: students will undertake courses in more than one field and will reflect critically on the content of those courses in their portfolio.

Because each of these areas of scholarship is also a practice-oriented domain, UOIT Liberal Studies students will have a correspondingly concrete sense of some of the ways in which they may seek to apply their education upon graduation. At the same time, creating a Liberal Studies degree program reflects and promotes recognition of the value that studying across the social sciences, humanities, and STEM has to offer. A Liberal Studies program draws attention to the intellectual interplay not just between the programs in the FSSH but across the university. Teaching and learning opportunities that directly and transparently foreground inter- and trans-disciplinarity serve to stimulate and support this kind of research and scholarship.

The present inability of students to earn a degree by studying across disciplines (unless they pursue a double major in two of the current programs on offer) makes UOIT an outlier within the provincial post-secondary landscape. The specific set of course offerings of the FSSH is less broad, and features fewer traditional selections, than that of other, more established universities in the province, which signals a strength as well as an opportunity for further

improvement through the Liberal Studies program. It is a strength because a Liberal Studies graduate from UOIT will have a broad foundation in the sciences, social sciences, and humanities as explored through scholarly lenses focused on institutional structures, techniques and processes. At the same time, the Liberal Studies program will create further incentive to develop opportunities for interdisciplinary collaboration, knowledge production, and dissemination at the university.

In a 2015 report entitled Educational Pathways of Leaders: an international comparison, the British council notes:

55% of leaders are liberal arts grads. The social sciences and humanities make up more than half of bachelor's degrees among current professional leaders with higher education qualifications, across 30 countries and all sectors. (British Council, 2015).

Given the complex and ever-changing relationship between scientific, technological, and economic challenges on the one hand, and political, social, and cultural challenges on the other, the knowledge, skills and ability to understand and address that complexity are more important assets than ever before (Susskind & Susskind, 2015; Nussbaum, 2010). Enabling students to incorporate STEM, as well as social science and humanities, courses is a strength of this program. Not requiring that students major in a specific area of study more specialized than Liberal Studies distinguishes the program from other Bachelor-level degrees. Ensuring that students are equipped with an introductory and capstone course that enables them to engage self-reflexively with the design of their program of study makes this program different from a general BA with an undeclared major that students may pursue at some other institutions. A further distinguishing factor is the nature of the existing FSSH programs and the social justice mandate of the Faculty. Liberal Studies students will have a more focussed set of course offerings than the larger universities. A Liberal Studies graduate who has taken some science, legal studies, criminology, and communication courses and who wishes to pursue a law degree, for instance, will be well positioned to be successful in both law school and in their future career because of their breadth of experience in university studies.

The list below does not exhaust all general arts degrees in the province bearing some resemblance to the Liberal Studies Honours BA. Instead, it identifies those whose formal characteristics resonate most with those of the proposed program, while also highlighting their differences. That a program of this general type is a common feature of university curricula across this province suggests it is time for UOIT to also offer a Liberal Studies program in order to be competitive in terms of attracting new students and retaining current ones, and thereby address the demand expressed by present and prospective students. UOIT's qualities as a university and the specific choices it makes in designing this program ensure that the Liberal Studies BA will be a distinctive and valuable addition to the set of undergraduate programs available in Ontario.

Institution: University of Waterloo
Program Name and Credential: Liberal Studies (BA)

Program Description: No major required but “Bachelor of Arts breadth requirements” must be met
Similarities and Differences: Offers three-year as well as four-year program; can also be completed entirely online; graduating from the four-year general Liberal Studies program requires: a minimum Faculty of Arts average of 65%; at least 12.5 academic course units (25 courses) in the Faculty of Arts, including a minimum of two academic course units (four courses) in the Faculty of Arts at the 300-level or above; no Liberal Studies specific courses
Justification: does not feature an Introduction to Liberal Studies or Liberal Studies capstone course
Links: https://uwaterloo.ca/arts/undergraduate/majors-and-minors/liberal-studies

Institution: University of Windsor
Program Name and Credential: Liberal Arts & Professional Studies (BA)
Program Description: Students select from courses in the social sciences, humanities and natural sciences, while also pursuing a certificate in either either Applied Information Technology, Organizational Management (tbc), Public Administration, or Work & Employment Issues
Similarities and Differences:
Justification: does not feature an Introduction to Liberal Studies or Liberal Studies capstone course
Links: http://www.uwindsor.ca/laps/

Institution: Queen’s University *advertised as available in 2018
Program Name and Credential: Liberal Studies (BA)
Program Description: “Explore how the humanities, social sciences, and natural sciences have shaped much of our daily lives through online courses in four modes of critical thought: scientific inquiry and reasoning, insights into contemporary society and culture, critical perspectives on history, and academic writing. This general BA degree program will help you develop adaptable skills for any career path or life activity, or further education.”
Similarities and Differences: Three-year program consisting of 90.0 units— 60.0 electives which can be taken from any subject, at any level and in any order, provided prerequisites in order; the other 30.0 units must be drawn from the following online courses: Required LIBS 100 (3.0 units): Origins and Practices of Liberal Arts LIBS 300 (6.0 units): The Liberal Arts in the Contemporary World Selected from the following options structured around four modes of critical thought: 6.0 units from Scientific Inquiry and Reasoning (e.g. Math, Biology, Computing, Psychology, etc.); 6.0 units from Insights into Contemporary Society and Culture (e.g. Film, Sociology, Philosophy, etc.); 6.0 units from Critical Perspectives on History (e.g. History, Religious Studies, Classics, etc.); 3.0 units from Academic Writing (Writing courses)
Justification: Unlike the proposed UOIT program, Queen’s Liberal Studies program is not an Honours BA; it is three-years long

Links:	http://www.queensu.ca/artsci_online/programs/bachelor-of-arts/liberal-studies-degree
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Institution: Nipissing University
Program Name and Credential: Liberal Arts (BA)
Program Description: Involves completing a minor (18 credits) in each of the two disciplines the student chooses. One discipline must be in an academic area from the Humanities or Social Science groups; the other discipline must be chosen from the Humanities, Business, Science or Social Science groups.
Similarities and Differences: Requirement to do two minors; No Liberal Studies specific courses
Justification: does not feature an Introduction to Liberal Studies or Liberal Studies capstone course
Links: https://uwaterloo.ca/arts/undergraduate/majors-and-minors/liberal-studies

Institution: Ryerson Polytechnic University
Program Name and Credential: BA Arts and Contemporary Studies
Program Description: First two year centred around “great ideas that have shaped the world from ancient times to the present day”; progressing to upper years, students may choose from among four subject-based options (English, French, History, and Philosophy), and five inter-disciplinary options (Cultural Studies, Diversity and Equity Studies, Global Studies, Inquiry and Invention Studies, and Anthropology Studies)
Similarities and Differences: Much more detailed and elaborate structure
Justification: Diverges from organizing logic of Liberal Studies program at UOIT, given extant programs in FSSH and subject options in the other faculties
Links: http://www.ryerson.ca/artsandcontemporarystudies/prospective_students/program_overview/

Institution: Lakehead University
Program Name and Credential: General Arts (BA)
Program Description: Student can select courses drawn from fifteen departments, within the Faculty of Social Science & Humanities: Criminology, English, History, Indigenous Learning, Interdisciplinary Studies, Languages, Media Studies, Music, Northern Studies, Outdoor Recreation, Parks and Tourism, Philosophy, Political Science, Sociology, Visual Arts Women's Studies.
Similarities and Differences: can also be completed entirely online; no Liberal Studies specific courses
Justification: does not feature an Introduction to Liberal Studies or Liberal Studies capstone

course
Links: https://www.lakeheadu.ca/academics/undergraduate-programs

Institution: Lakehead University
Program Name and Credential: Interdisciplinary Studies (BA)
Program Description: Students may choose any two disciplinary areas from the following: Anthropology, Biology, Criminology, English, General Science, Geography, History, Media Studies, Political Science, Psychology, Sociology
Similarities and Differences: focused on inter-disciplinary comparison as opposed to eclectic set of course selections
Justification: more inter-disciplinary than explicitly liberal studies-focused
Links: https://www.lakeheadu.ca/academics/undergraduate-programs/orillia/interdisciplinary-studies/node/3453

Institution: York University
Program Name and Credential: Interdisciplinary Social Science program (BA)
Program Description: Honours program available where students must choose from list of approved theory courses; fields include: Work & Labour Studies, Development Studies, Health & Society, Urban Studies and African Studies; aim is to critically examine historical and contemporary issues related to social and political thought, social justice and diversity, sustainability and the environment, social exclusion and identity, diaspora and global development.
Similarities and Differences: social science focused; no explicit Liberal Studies specific courses
Justification: social science focused; no explicit Liberal Studies specific courses
Links: https://futurestudents.yorku.ca/program/social-science

Institution: University of Windsor
Program Name and Credential: Bachelor of Interdisciplinary Arts and Science (BA)
Program Description: Students select major and minor among programs in the social sciences, social work, all of the fine arts and a robust selection of humanities
Similarities and Differences:
Justification: less flexibility than Liberal Studies program and fewer options outside of social sciences, humanities, and fine arts
Links: http://www.uwindsor.ca/artsci/

Institution: Wilfrid Laurier University
Program Name and Credential: General BA without Designation
Program Description:
Similarities and Differences: can also be completed entirely online; no Liberal Studies specific courses
Justification: three-year, online program with no Liberal Studies specific courses
Links: https://legacy.wlu.ca/calendars/program.php?cal=1&d=1066&p=2179&s=502&y=53

Institution: University of Guelph
Program Name and Credential: BA General Degree
Program Description: “Choose between 15 areas of concentration in the BA General degree. This flexible, multidisciplinary three-year degree involves a generalized study of a broad range of subjects, and allows you to tailor your studies to your interests and career plans.”
Similarities and Differences: can also be completed entirely online; no Liberal Studies specific courses
Justification: three-year, online program with no Liberal Studies specific courses
Links: https://admission.uoguelph.ca/ba/gen

Institution: McMaster University
Program Name and Credential: Honours Arts & Science (B.Arts Sc.)
Program Description:
Similarities and Differences: much more structured than the Liberal Studies degree proposal; large number of course tailored specifically to Arts & Science students
Justification: more structured than the flexible Liberal Studies model
Links: http://future.mcmaster.ca/programs/artsci/

Institution: Trent University
Program Name and Credential: Bachelor of Arts and Science (BAS)
Program Description: includes courses in the sciences and the arts (humanities and social sciences), plus interdisciplinary courses that specifically address a range of historical and current topics from multiple disciplinary perspectives
Similarities and Differences: advertised as a good option for students who have well-defined interdisciplinary interests, but is not intended for students who do not yet know what they want to study
Justification: more structured than the flexible Liberal Studies model
Links: https://www.trentu.ca/bas/bachelor-arts-and-science

Why program is being offered on a “stand-alone” basis rather than as a joint program offered with another institution

Offering the program on a “stand-alone” basis reflects recognition of the university’s ability to fulfill the resource and performance requirements this proposal entails, while at the same time responding to the demands emanating from within the wider university community for this type of program.

2. DEGREE REQUIREMENTS

a. Program Learning Outcomes

Degree Level Expectation	Learning Outcome	How the program instructional design & elements support the	Method of assessment: How are you planning to measure the learning outcome stated in column 2

		attainment of student learning outcomes	
(1) Depth and Breadth of Knowledge	<ul style="list-style-type: none"> -Identify what distinguishes the humanities, social sciences and natural sciences as approaches to academic study -Describe historical factors contributing to emergence of different academic disciplines -Give an overview of how scholarship and teaching have come to be categorized in these disciplinary categories -Discuss the meaning and value of a contemporary liberal education - Evaluate normative justifications in light of social, political, economic, legal, cultural, and moral considerations -Practice critical self-reflection in the production of creative, synthetic work 	<ul style="list-style-type: none"> -Compulsory common year of introductory FSSH courses -Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone -Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods SSCI 2920U Qualitative Research Methods SSCI 2910U Data Analysis -Requirement of at least one FSSH 4000-level course (in addition to LBAT 4000) -Requirement of at least one humanities course 	<ul style="list-style-type: none"> -Common year courses tend to incorporate summative assessment methods, such as tests, to measure breadth of knowledge, as well as essays to assess depth of knowledge -Teaching and assessment methods in LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone (i.e. independent essays, group presentations, academic journaling and scaffolded portfolio project) are coordinated to ensure development of critical and creative thinking, along with reflexive practice, and effective communication -Students introduced to writing independent research essays and academic journaling, as well as to engaging in technologically-enriched presentations and group work to achieve the designated program learning outcomes. Students become increasingly adept with opportunities for self, peer, and instructor assessment, and future attempts at similar work cast at a higher level of

		<p>-Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty</p> <p>-At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty</p>	<p>complexity</p> <p>-Myriad evaluation methods employed across courses to assess reading and aural comprehension as well as written and spoken proficiency</p>
(2) Knowledge of Methodologies	<p>-Differentiate methodological commitments across a range of academic disciplines</p> <p>-Analyze respective strengths and limitations of qualitative and quantitative research methods</p> <p>-Apply knowledge of strengths and limitations of specific methodologies in planning and completing research projects</p>	<p>-Common first year courses introducing students to range of disciplinary approaches</p> <p>-Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone</p> <p>-Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods</p>	<p>-Assessment methods in LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone (independent essays, group presentations, academic journaling and portfolio project) focus not only on the “what” but “how” knowledge is generated from a variety of approaches</p> <p>-Research exercises in each available methods class grant students the opportunity to demonstrate knowledge of the rationales and logics of particular methodologies</p>

		SSCI 2920U Qualitative Research Methods SSCI 2910U Data Analysis -Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty -At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty	
(3) Application of knowledge	-Appraise a range of social problems in a theoretically informed, rationally justified, and practical manner -Plan, draft and execute written and verbal demonstrations of critical analysis in relation to contemporary social issues	-Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone -Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods SSCI 2920U	-Option of Practicum SSCI 3098U and SSCI 4098U & Honours Thesis I and II SSCI 4101U and SSCI 4102U in fourth year; both provide opportunities for assessment of knowledge application -Design of capstone course LBAT4000U predicated on notion of developing aptitudes (featuring journaling, portfolio-making, and increasing expectations for research and writing outputs); employment of many similar assessment methods in 4000 and 2000-level Liberal Studies course,

		<p>Qualitative Research Methods SSCI 2910U Data Analysis</p> <p>-Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty</p> <p>-At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty</p>	<p>but with appropriately increased expectations of analytical skill and depth</p>
(4) Communication Skills	<p>-Plan, compose, and edit narrative, expository, descriptive and argumentative essays</p> <p>-Connect and distinguish normative positions taken in a discipline under study, identifying thesis, evidence, arguments, and evidence</p> <p>-Relate to listeners and readers in an articulate, respectful, and effective manner</p>	<p>-Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone</p> <p>-Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods SSCI 2920U Qualitative</p>	<p>- Assessment methods in LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone geared to assessing both written and verbal communication skills (writing independent research essays; academic journaling; technologically-based or enhanced presentations or performances; group work exercises feature peer and self-assessments)</p> <p>-Myriad evaluation methods employed across courses to assess reading and aural comprehension as</p>

		<p>Research Methods SSCI 2910U Data Analysis</p> <p>-Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty</p> <p>-At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty</p>	<p>well as written and spoken proficiency</p>
<p>(5) Awareness of Limits of knowledge</p>	<p>-Identify and explain a variety of methodologies and their implications for how knowledge is imagined, organized, and communicated</p> <p>-Recognize and illustrate the contingent nature of political, cultural, economic, and social truth-claims originating from hypotheses in the social sciences and humanities</p>	<p>-Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone</p> <p>-Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods SSCI 2920U Qualitative Research</p>	<p>-Assessed in the quality of work produced in independent research essay assignments, academic journaling exercise, class presentations, and group exercises</p> <p>-LBAT4000U Liberal Studies Capstone is especially designed to pose this question to students in multiple ways through series of practical case studies requiring them to draw reflexively on disciplines studied to date</p>

		<p>Methods SSCI 2910U Data Analysis</p> <p>-Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty</p> <p>-At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty</p>	
(6) Autonomy and professional capacity	<p>-Show responsibility, industry and self-motivation across a range of academic activities</p> <p>-Analyze in an original and independent way</p> <p>-Engage with others in a conscientious and considerate manner</p>	<p>-Compulsory LBAT2000U Introduction to Liberal Studies & LBAT4000U Liberal Studies Capstone</p> <p>-Requirement of at least one FSSH Methodology course: COMM 2210U Researching Communication and Digital Culture LGLS 2940U Legal Research Methods SSCI 2900U Research Methods SSCI 2920U Qualitative Research Methods</p>	<p>-Undertaking active role in consulting with academic advisors in designing and completing one's program of study (as assessed on a continuous, individual basis by program director/academic advising support team and collectively upon annual review)</p> <p>-Learning to develop and keep a portfolio of one's work in LBAT2000U Introduction to Liberal Studies; producing and submitting a portfolio of one's work in LBAT4000U Liberal Studies Capstone</p> <p>-Establishing the habit of</p>

		SSCI 2910U Data Analysis -Maximum of 42 credit hours (including the FSSH common first-year courses) at the 1000-level may be taken in courses offered in any faculty -At least 36 credit hours at the 3000 or 4000-level in courses offered in any faculty	tracing connections and drawing distinctions between bodies of knowledge and modes of knowledge acquisition (as assessed through essay assignments and journaling exercises in the introductory and capstone courses) -Opening one's heart and mind to the experiences and perspectives of others (self and peer assessment in the course of group work a crucial component of this evaluation)
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b. Evaluating achievement of learning outcomes and degree-level expectations achievement

The plans for documenting and demonstrating the level of student performance have been designed specifically to be consistent with the degree level expectations (DLE). The program-level learning outcomes are based on the DLEs and onto these were mapped appropriate courses and methods of assessment. The program will be externally reviewed during cyclical reviews, and assessed on an ongoing basis through indicators such as student grades, student success, and yearly course evaluations. Classes and assessment practices as outlined in the proposal will be closely monitored on an ongoing basis through the internal curriculum committee. We will also monitor closely the career success of our students upon completion. All students are also required to complete a culminating capstone project. The projects completed by students will allow them to demonstrate that they have achieved the overall program learning outcomes that have been aligned with the degree level expectations. The outcomes of the capstone project will be closely monitored to ensure that the courses in the program are preparing students for success in this culminating project.

c. Admission Requirements

Direct Entry from Secondary School

To be eligible for admission to the Liberal Studies (Honours) program, applicants must have completed an Ontario Secondary School Diploma (OSSD) with six 4U or 4M courses, including English (ENG4U). Applicants must have a minimum secondary school grade average of 70%-72%, which is consistent with the entrance threshold set for the other FSSH programs. Since the average entrant grade across these programs is closer to the high 70's,

it is anticipated that the actual entrance threshold for Liberal Studies will likewise increase over time due to competitiveness.

College Pathway to Liberal Studies Program

Students who have completed an Ontario college diploma in a Liberal Studies relevant program with a minimum of 70% are eligible for admission into the third year of Liberal Studies, but must complete the second year Introduction to Liberal Studies course.

General Arts and Science (GAS) Transfer to the Liberal Studies Program

Students who have successfully completed a GAS certificate may apply for direct admission into the second year of the Liberal Studies program. Eligible GAS applicants must have achieved a mark of not less than 70 per cent in each required course in the GAS-UOIT Liberal Arts Transfer courses, with an overall GPA of not less than 3.0 on a 4.3 scale (70 per cent). GAS transfer students receive 30 credit hours toward a 120 credit hour BA degree in Liberal Studies. Possession of the minimum requirements does not guarantee acceptance.

d. Program Structure/ Program Maps
See appendix.

e. Calendar Copy
See appendix.

3. RESOURCE REQUIREMENTS

a. Faculty Members, Current and New Faculty requirements

In the short-term, no additional faculty members will be required. The curriculum vitae of present faculty members who have expressed interest in teaching the required courses and/or supervising Liberal Studies Honours Thesis students are included as an appendix. An intermediate to long-term goal is to broaden the specifically liberal studies course options and the range of course offerings in the Faculty of Social Science and Humanities. This will benefit other students in the FSSH, as well as satisfy demand in other Faculties for social science and humanities oriented electives. Included in this strategy will be the development of online courses to enhance accessibility to the Liberal Studies program and the Faculty of Social Science and Humanities. Based on the projected course load and student enrollment, the plan is to hire a new faculty member in year 3 of the Liberal Studies program.

b. Additional Academic and Non-academic Human Resources

Additional person hours for non-academic human resources will be required to provide Liberal Studies students with the additional Academic Advising support that a flexible, student-designed program such as this requires.

c. Student Support Requirements

There are already a number of services in place to ensure students receive the necessary support to excel at the UOIT. All undergraduate students have access to an extensive support system that ensures a quality student experience. In addition to the services outlined

below, students may also take advantage of the Campus Childcare Centre, Campus Bookstores, Housing and Living Resources as well as the Student Association. Further information can be found at <http://studentlife.uoit.ca/>

Student Learning Centre

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

Student Accessibility Services

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

- Adaptive technology training;
- Alternate format course material;
- Learning skills support;
- Testing support; and
- Transition support for incoming students.

Careers and Internships

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

- Assistance with creating effective job-search documents;
- Career Counselling;
- Interview preparation;
- Job market information; and
- Job search strategies.

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

Student Engagement and Equity

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

- Orientation and events through first year

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

Student Mental Health Services

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

- Attend a drop-in session;
- Participate in events and activities that promote positive health and well-being;
- Access tools and resources online to learn about mental health and how to maintain good health and wellness;
- Work with a mental health professional to address concerns;
- Contact the Student Lifeline for immediate help and assistance; and
- Get answers to frequently asked questions about mental health.

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

Athletics and Recreation Facilities

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

Campus Health Centre

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

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

Student Awards and Financial Aid

Student Awards and Financial Aid (SAFA) is dedicated to helping students understand the variety of options available to finance their education. Budgeting and financial planning are essential to their success and Student Awards and Financial Aid is on hand to help create

the right financial plan. Financial assistance can be in the form of bursaries, employment (both on-campus and off), parental resources, scholarships, student lines of credit and the Ontario Student Assistance Program (OSAP).

d. Physical Resource Requirements

Classroom allocations will be made from existing space resources. No additional physical resources will be required except for an office for the new faculty member hire planned for year 3.

4. BUSINESS PLAN

a. Statement of Funding Requirement

Table 11. Projected revenue and expenses by year.

Assumptions:

1. BA tuition rate of \$6,500
2. Sessional course rate of \$7,200 plus 9% fringe
3. New faculty member salary of \$120k plus 18.5% benefits
4. TA support of 140 hours per course plus 9% fringe and \$150 STA payment

	19-20	20-2	21-22	22-23	23-24
Revenue	\$ 195,000.00	\$ 351,000.00	\$ 499,200.00	\$ 639,990.00	\$ 639,990.00
Expenses					
Sessional	\$ 7,848.00	\$ 15,696.00	\$ 23,544.00	\$ 31,392.00	\$ 47,088.00
Faculty	\$ -	\$ -	\$ 142,200.00	\$ 142,200.00	\$ 142,200.00
PD Stipend	\$ 7,500.00	\$ 7,500.00	\$ 7,500.00	\$ 7,500.00	\$ 7,500.00
TA Support	\$ 5,657.10	\$ 11,314.20	\$ 39,599.70	\$ 45,256.80	\$ 56,571.00
	\$ 21,005.10	\$ 34,510.20	\$ 212,843.70	\$ 226,348.80	\$ 253,359.00
Net Revenue	\$ 173,994.90	\$ 316,489.80	\$ 286,356.30	\$ 413,641.20	\$ 386,631.00



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

Financial Impact ☒ Yes ☐ No

Included in Budget ☒ Yes ☐ No

TO: Board of Governors

DATE: June 27, 2018

PRESENTED BY: Steven Murphy, President and Vice-Chancellor

SUBJECT: Establishment of a Doctor of Philosophy in Health Sciences

BOARD MANDATE:

The Board has the authority to establish academic, research, service and institutional policies and plans under section 9(b) of the *UOIT Act*.

In accordance with Article 8.9 (b)(i) of By-law Number 1, the Academic Council “shall advise the Board on ... the establishment and termination of degree programs”.

Academic Council hereby recommends for approval by the Board of Governors the attached program proposal for the establishment of the **Doctor of Philosophy in Health Sciences**.

BACKGROUND/CONTEXT & RATIONALE:

The Faculty of Health Sciences proposes a new Doctor of Philosophy (Ph.D.) in Health Sciences. The program will produce well-qualified health sciences academics and professional leaders by providing a depth of expertise in their chosen field of Community, Public and Population Health (CPP); Kinesiology (KIN); or Health Informatics (HI). These fields are currently part of the Masters in Health Sciences and the proposed Ph.D. and builds on a solid record of accomplishment in graduate supervision and student training in each field.

Advances in the ability to acquire, access, analyze, and store health data have occurred at an exponential rate. As such, it is critical that those graduating with a Ph.D. in Health Sciences have broad interdisciplinary knowledge of data and technology issues in health to complement the knowledge, skills, and depth of expertise required in their specific field of study. The proposed Ph.D. program will provide its graduates with a breadth of interdisciplinary knowledge surrounding advances in the way that we acquire and use health data, as well as the technical, ethical, social and policy implications of these advances. Interdisciplinary research training will be combined with field specific training to ensure that graduates are well prepared for an academic career, as well as for leadership positions in academic, scientific, clinical, and policy domains in North America's large and expanding health sector.

The Faculty of Health Sciences currently offers a Master of Health Sciences, with specialty fields in CPP, HI, and KIN. The majority of our graduates publish their thesis work, and several have gone on to complete Doctoral degrees in other programs at UOIT or at other institutions. As such, the proposed Ph.D. will build on existing partnerships with health care and academic institutions to advance faculty and graduate research and to ensure that trainees are exposed to interdisciplinary perspectives "beyond the classroom" setting.

The proposed Ph.D. will build on the strong foundation of ongoing research in each of the three Masters fields, exposing Doctoral students to research in their areas of expertise, as well as cognate areas that will further develop their expertise. The strong technology focus of the UOIT Ph.D. program, coupled with its emphasis on the scholarship of knowledge translation and dissemination, which government agencies, granting bodies, employers and the public have come to expect, are enabling competencies that will make UOIT's Ph.D. graduates highly sought after. Reflective of these evolving needs, the proposed program will prepare doctoral students to become leading professionals and researchers in a variety of settings.

RESOURCES REQUIRED:

An analysis of projected intake and enrolment can be found on page 13 of the attached proposal and anticipates a total enrolment of 28 students at maturity. Information on current and future human and physical resources begins on page 21. The Faculty of Health Sciences currently has available 0.5 of an administrative assistant to support the Health Sciences Master's program. An additional 0.5 position has been allocated in year one and year two to deal with program start-up. This expands to a 1.0 role in year three and will be a combination of administrative support and advising.

The Associate Dean Research and Graduate Studies (AD-RGS) will be taking on additional administrative tasks as well. At minimum, the job of implementing this program requires the provision of one additional full time equivalent course release associated with the standard teaching requirement. Additionally, we are hiring a Full Time Teaching Faculty member to teach undergraduate courses and allow current faculty members the space to teach in the graduate program.

In 2013, the FHSc created a Research Development Assistant (RDA) role to provide support for research initiatives within the Faculty. Under the direction of the AD-RGS, the RDA provides support for myriad Faculty research endeavours. The Faculty currently

supports this position at 3 days a week, and we plan on devoting an extra 2 days of work for graduate program support with the implementation of the Ph.D. program.

HI students, in their connection to the Faculty of Business and Information Technology, will have space in UOIT's new, state of the art SIRC building on our North campus. Planned space in the revised Campus Master Plan will ensure adequate space for our graduate students by 2021. Existing space will be able to accommodate the initial cohort of Ph.D. students in the interim.

IMPLICATIONS: Not applicable

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

Research and training in the identified Ph.D. fields support five of six thematic research areas identified in the 2012-2018 University Strategic Research Plan, and particularly so in the areas of "human health & community wellness", "information and communication technology and informatics", and "life sciences and biotechnology". The proposed program will further intensify research activities in these areas, and moreover, will do so in a way that emphasizes and fosters the interdisciplinary collaborations already developed through the three fields in our Master's program, and through ongoing collaborative research within the faculty.

The proposed Ph.D. program will further the mission to provide superior graduate programs that take into account the need for an increasingly technologically capable graduate for the evolving needs of the workplace. The program is designed to provide students with a breadth of understanding surrounding the implications of advances in health data and technology. The ability to evaluate the technical, ethical, social, and policy implications of advances in health data and technology will provide our graduates with a leading edge both within and beyond traditional occupations.

ALTERNATIVES CONSIDERED: Not applicable

CONSULTATION:

Procedures for new programs involve six components: the development a proposal brief by the initiating Faculty; external evaluation to provide an assessment of program quality; internal response to assessment; approval of the proposal; submission of the proposal to the Quality Council and MAESD as appropriate, and subsequent review of the program as part of the university's program review process.

The final proposal was approved by the Faculty of Health Sciences in March 2018. Subsequently, it was reviewed by the Graduate Studies Committee in April 2018 and by Academic Council in May 2018.

COMPLIANCE WITH POLICY/LEGISLATION:

The proposal was prepared in accordance with the requirements of the University's policies and procedures on new program submissions as outlined in the Institutional Quality Assurance Handbook (UOIT Academic Council revised June 2011).

NEXT STEPS:

Subsequent to the Board's approval, the proposal will be submitted to the Quality Council and Ministry of Advanced Education and Skills Development for final approval to launch the program.

MOTION FOR CONSIDERATION:

Pursuant to the recommendation of the Academic Council, the Board of Governors hereby approves the establishment of the proposed Doctor of Philosophy in Health Sciences, as presented.

SUPPORTING REFERENCE MATERIALS:

- Doctor of Philosophy in Health Sciences program proposal



Doctor of Philosophy in Health Sciences Faculty of Health Sciences

February 23, 2018

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1. INTRODUCTION

a. Background

The Faculty of Health Sciences at the University of Ontario Institute of Technology (UOIT) proposes a new Doctor of Philosophy (Ph.D.) in Health Sciences. The program will produce well-qualified health sciences academics and professional leaders by providing a depth of field specific expertise in their chosen field of Community, Public and Population Health (CPP); Kinesiology (KIN); or Health Informatics (HI). These fields are currently part of the Masters in Health Sciences at UOIT; the proposed Ph.D. builds on that solid record of accomplishment of graduate supervision and student training in each field.

Advances in the ability to acquire, access, analyze, and store health data have occurred at an exponential rate over the past 10 to 15 years. This rapid increase has created a myriad of issues that need to be addressed by qualified and knowledgeable experts. As such, it is critical that those graduating with a Ph.D. in Health Sciences have broad interdisciplinary knowledge of data and technology issues in health to complement the knowledge, skills, and depth of expertise required in their specific field of study. To meet these broadening demands, the proposed Ph.D. program will provide its graduates with a breadth of interdisciplinary knowledge surrounding advances in the way that we acquire and use health data, as well as the technical, ethical, social and policy implications of these advances; this will complement the development of field specific expertise.

Future Health Sciences leaders also need the research expertise to become effective research brokers in both professional and research settings. It is critical that they have a scholarly ability to evaluate and implement best practices for knowledge synthesis, dissemination and exchange, as described in the CIHR knowledge translation framework¹. Interdisciplinary research training will be combined with field specific training to ensure that graduates are well prepared for an academic career, as well as for leadership positions in academic, scientific, clinical, and policy domains in North America's large and expanding health sector. To allow for this level of training, the program has been designed with a flexibility that allows for students to be embedded into our partner organizations. The program's rich training environments are designed to give graduates the transferrable skills necessary to expand the breadth of career opportunities for our graduates within and beyond the traditional pursuits of academia. Broad professional skills are embedded into the design of the Ph.D. to help our graduates acquire the skills necessary to succeed post program completion. For example, a key feature of the program is its flexibility. It is designed so that once the first 18 months of the program are completed, students can be physically located at partner locations while they collect thesis data and gain important industry experience. Through close consultation over the past 4 years, our community partners have expressed strong support for student placement and recognized the mutual benefit of UOIT having a Ph.D. in Health Sciences (as evidenced in their Letters of Support found in Appendix D).

Another key aim of the proposed program is to provide a solid grounding in the scholarship of knowledge translation to ensure that graduates can effectively disseminate research findings. Exposure to interdisciplinary perspectives through program content, course design, and interactions with stakeholders and community partners throughout the program will prepare graduates to be effective members of the interdisciplinary research and professional teams now demanded by the health care work domain. Advanced communication skills will ensure that graduates can articulate the scientific *and* practical significance of their research to multiple audiences (e.g. general public, health professionals, academic journals and conferences, policy makers) in multiple ways (oral presentation, scholarly writing, and modern media such as blogs and tweets).

¹ <http://cihr-irsc.gc.ca/e/45669.html>

Pending its approval, the program should commence in September 2019.

Rationale.

UOIT is located in Durham Region and Northumberland County, one of the fastest growing areas in Canada. UOIT welcomed its first cohort of students in 2003 and will have an estimated 10,000 students (FTE) in the 2019 academic year. An engine for economic development and innovation, UOIT is expected to contribute over \$1.2 billion in economic activity to Ontario's GDP over a 5-year period. In 2019-20, UOIT is projected to contribute \$247 million to Ontario's GDP, which is a 20% increase from 2014-15 levels, and generate and support nearly 2,300 jobs across the province². UOIT's Faculty of Health Sciences is one of the University's largest, and offers training, expertise, and innovation for the region's expanding health sector.

The Faculty of Health Sciences currently offers a Master of Health Sciences, with specialty fields in CPP, HI, and KIN. Graduates from our Master's program have taken positions in a range of health-related areas including: research and development; lifestyle (diet and exercise) consulting; research project management; implementation consulting; patient care; and clinical informatics analysis. The majority of our graduates publish their thesis work, and several have gone on to complete Doctoral degrees in other programs at UOIT or at other institutions. The excellence of our Masters graduates is demonstrated by the large number awarded OGS, NSERC, SSHRC, and CIHR funding for either their Masters or when they go on to Ph.D. study in other programs, including a CIHR VANIER, and a Banting Doctoral scholarship awarded to two recent graduates.

We recognize that successful research training requires the collaboration of all training stakeholders. As such, the proposed Ph.D. will build on existing partnerships with health care and academic institutions to advance faculty and graduate research and to ensure that trainees are exposed to interdisciplinary perspectives "beyond the classroom" setting. The list of partners is long and diverse, and includes for instance, The Abilities Centre, Lakeridge Health, Ontario Shores Centre for Mental Health Sciences, Grandview Children's Centre, Canadian Memorial Chiropractic College, Durham Region Public Health, the Canadian Sport Institute of Ontario, and a host of community organizations serving populations in the Durham Region and the greater Toronto area. These partners provide unique experiential training environments for our graduate students, as well as the expertise of professionals working in the field.

Supported by the university, we will continue to strengthen existing partnerships as well as to broaden our scope of community partners. Toward this end, the Office of Research Services (ORS), UOIT has recently added a Partnership Development role to support the Manager, Research Partnerships. The FHSc will leverage this Partnership Development Support team to strengthen our graduate programs.

This year (2018), we held the inaugural *New Year; New Ideas* Research event. This will be an annual Community Partners research event that features the innovative work our partners are doing and encourages collaborations within our partner network. We plan on holding this event at rotating community partner locations each year. This year the event was held at Ontario Shores Centre for Mental Health and addictions, and next year Lakeridge Health Corporation has already volunteered to host the event.

An important part of the program is that the structure provides the flexibility for students to spend the majority of their time at a partner site, once the first 18 months of the Ph.D. have been completed (please see the Brief Program Abstract below and section 5a for additional details on program flexibility). Further, the roster of graduate and associate graduate faculty (see Section 3a below) depicts the diverse range of disciplines represented by these experts.

² HDR Corporation. (2015). *Economic Impact of UOIT on Durham Region and Northumberland County*. Retrieved from the UOIT website: <https://www.uoit.ca/about/economic-impact.php>.

Research and training in the identified Ph.D. fields support five of six thematic research areas identified in the 2012-2018 University Strategic Research Plan, and particularly so in the areas of “human health & community wellness”, “information and communication technology and informatics”, and “life sciences and biotechnology”. The proposed program will further intensify research activities in these areas, and moreover, will do so in a way that emphasizes and fosters the interdisciplinary collaborations already developed through the three fields in our Master’s program, and through ongoing collaborative research within the faculty.

The current Masters program began in September 2009. Initially there were two declared fields in the program: Community Health and Health Informatics. Community Health was recently renamed Community, Public and Population Health to reflect the breadth of research in the faculty. This field focuses on the analysis of environmental and social conditions implicated in health and wellness from community to population level. Understanding these conditions provides a foundation for developing strategies to promote wellness in ailing communities. The field of Health Informatics focuses on the development and understanding of the latest computing and information technology competencies, methods and architectures as applied within the context of health care to support healthcare administration, management, policy, training, clinical management, and clinical research. In September 2011, a Kinesiology field was added to the MHSc. Kinesiology broadly encompasses research in health and human performance, with specific expertise in motor learning and development, human neuroscience and biomechanics, exercise physiology and rehabilitation, and health and exercise psychology. This field provides students with opportunities to identify, address, and overcome the increasingly complex health-related challenges that influence the health and wellness of individuals. It is important to note that the current research interests of the faculty within Health Sciences at UOIT encompasses the full continuum of health, that is, research spans from factors affecting morbidity and mortality, to factors promoting optimal human functioning and performance. Researchers are looking at health across the lifespan, and in a variety of special populations. The proposed Ph.D. will build on the strong foundation of ongoing research in each of the three Masters fields, exposing Doctoral students to research in their areas of expertise, as well as cognate areas that will further develop their expertise.

With its foundation in technology, the sciences, and professional practice, UOIT seeks to advance superior graduate programs that take into account the need for an increasingly technologically capable graduate for the evolving needs of the workplace. The proposed Ph.D. program will further this mission through the creation of graduates who have a breadth of understanding surrounding the implications of advances in *health data and technology*. These advances include diverse areas such as “wearables” and applications to monitor health; sensors to monitor environmental determinants of health; advanced algorithms to monitor and diagnose health status; access to health databases; use of simulation for health and healthcare training; etc. These rapid advances in the capacity to use technology to collect, analyze, sort, and store both survey and biometric information, demands sophisticated knowledge of the technical, ethical, social, and policy implications that accompany these advances.

Increasingly, the success of Ph.D. graduates in finding employment in careers both within and beyond academia is determined by the enabling competencies that they have alongside their depth of knowledge in research design and implementation (Gould, 2015; Micoli, 2015). The strong technology focus of the UOIT Ph.D. program, coupled with its emphasis on the scholarship of knowledge translation and dissemination, which government agencies, granting bodies, employers and the public have come to expect, are enabling competencies that will make UOIT’s Ph.D. graduates highly sought after. Reflective of these evolving needs, the proposed program will prepare doctoral students to become leading professionals and researchers in a variety of settings. This includes, but is not limited to, tertiary institutions, research centres, hospitals and other clinical settings, community health promotion and illness prevention organizations, health and/or government policy, public health, clinical practices and

sport organizations (Kinesiology), post-Doctoral fellowships, technology transfer, and research grants officers.

The ability to evaluate the technical, ethical, social, and policy implications of advances in health data and technology will provide our graduates with a leading edge both within and beyond traditional occupations. Exposure to multiple perspectives will enable our graduates to provide leadership in diverse areas. This leadership may include a graduate from the Kinesiology field of our Ph.D. program working as a Research Director, querying the validity of data collected from wearable technology to monitor health outcomes. It might also include a graduate from the CPP field of our Ph.D. who has to implement a policy for the ethical use of data from an on-line database; or a graduate from the HI field of our Ph.D. program who has to evaluate the ethical implications of a new algorithm that determines health status from heart rate variability.

With this in mind, the UOIT Faculty of Health Sciences Ph.D. program will create graduates with the ability to:

1. Critically analyze previous research, and create new knowledge, within their chosen Ph.D. field (KIN, CPP, HI).
2. Design and implement a comprehensive program of research within their chosen Ph.D. field (KIN, CPP, HI).
3. Debate issues and solutions pertaining to data and technology use in health sciences research, training, and practice; including the technical, ethical, social, and policy implications.
4. Evaluate knowledge from interdisciplinary perspectives and interact with researchers from different disciplines to create a solid foundation for becoming members of interdisciplinary research and professional teams.
5. Effectively communicate, orally and in writing, with multiple audiences (e.g. general public, health professionals, academic journals and conferences, policy makers).
6. Develop and implement best practices for knowledge synthesis, dissemination, and exchange for the health sciences.

Brief program abstract.

The Faculty of Health Sciences at UOIT has researchers who use many different approaches to studying the complexity of human health. Human health issues are irreducible to single causes and thus, are only narrowly understood when seen through a single lens. Instead, a more thorough understanding of human health demands an interdisciplinary framework that enables the development, integration, synthesis, and translation of knowledge to fully understand and address its complexity. Creating an awareness of varied approaches to investigating complex problems enables a more comprehensive, non-reductionist view to elevate the prospects for effective solutions. Thus, the proposed program reflects and capitalizes on the diversity of the Health Sciences faculty, along with the myriad of academic and community partnerships the Faculty already has forged through its ongoing research activities and graduate student training.

The program offers an approach to Health Sciences doctoral training that considers the necessity for interdisciplinarity as a requirement for graduates to successfully enter the workforce, while providing graduates with the depth necessary to be successful in their chosen field. The specialization fields in CPP, KIN and HI mean that we will attract student-scholars from these areas. Qualified Masters-trained students from our own Masters, or other relevant Masters programs may gain entry to the Ph.D. program and would typically complete their degree in four years. Well-qualified students may be eligible for advanced entry into the program, taking courses for a year at the Masters level prior to entering the Ph.D. program. This option is available in similar programs in Canada, and within other Faculties at UOIT, but will be restricted to a few exceptional students who have demonstrated superior research abilities and who proffer a mature, well-defined Ph.D. level research portfolio (Please see section 2.b. Admission

Requirements for additional details).

The program begins with a 3 credit course entitled “Interdisciplinary Perspectives on Health Data and Technology”. The course provides a framework for evaluating data and technology in health sciences research, training, and practice. The technical, ethical, social, and policy implications of data collection, analysis, and storage are critically evaluated, and discussed in an interdisciplinary context. Students will be evaluated via case studies, presentations, and class discussions. The course will invite a number of guest speakers, including UOIT faculty. Some examples might include: Dr. Isabel Pedersen, CRC in Digital Life, Media and Culture in the Faculty of Social Sciences and Humanities, an expert in the social implications of wearable technologies and digital mediums; Dr. Caroline Barakat-Haddad, an FHSc faculty expert in Environmental and Occupational Health who mines large databases to discover relationships between environmental exposures and health; Dr. Efrosini Papaconstantinou, from Nursing has an interest in the use of technology to monitor sleep; Dr. Carolyn McGregor, a former CRC in Health Informatics, is an expert in the use of Big Data to develop new algorithms to enhance prevention, monitoring and diagnosis of health conditions; Dr. Joanne Arcand, an FHSc Assistant Professor and Registered Dietician, has developed mobile applications to monitor dietary salt intake; Dr. Bernadette Murphy, a Kinesiology Professor uses technology to develop biomarkers of individuals at risk of progressing from recurrent to chronic pain; and Dr. Nick La Delfa, from Kinesiology uses simulation and modelling to develop optimal ergonomic workplace designs. The Faculty is currently interviewing for a Canada Research Chair in Healthcare Simulation, which will ensure that students are exposed to the advances in this important area of health research and training as well. A course outline for this course is available in Appendix A.

The second core course entitled “Critical Perspectives in Research and Knowledge Translation in Health Sciences” will run in the fall semester of year two³. This course will provide Doctoral students with the opportunity to extend their knowledge, skill, and understanding of research paradigms and knowledge translation within an interdisciplinary context. The course aims to create graduates with the advanced research expertise to become effective research and policy brokers in academic, professional, and research settings. The mechanisms of knowledge synthesis, dissemination, and exchange as well as the ethical application of knowledge in health will be critically evaluated using the CIHR knowledge translation framework⁴. A variety of knowledge translation frameworks will be integrated into this course, including knowledge to action process theory and models including integrated and end-of-grant knowledge translation; knowledge creation, and; the knowledge translation “Action” cycle. Students will therefore be able to proactively and explicitly incorporate advanced knowledge translation plans for their Doctoral dissertation work.

Guest speakers from UOIT and our partners with Doctorates who work in roles outside of academia that require knowledge translation and implementation will be involved in round table discussions within the course. For example, Dr. Kirsten Burgomaster holds a Ph.D. in Kinesiology and Human Physiology and is the Clinical Director of the Durham Regional Cancer Centre; Dr. Jennifer Leo holds a Ph.D. in Adapted Physical Activity and is the Director of Research at the Abilities Centre; Dr. Alison Burgess holds a Ph.D. in Neuroscience and is the Manager, Research Partnerships at UOIT; Dr. Laura Rendl holds a Ph.D. in Biochemistry and is a Grants Officer in the Office of Research Services at UOIT; Melanie Stuckey holds a Ph.D. in Kinesiology and Cardiovascular Physiology and is a Scientific Writer at Ontario Shores Centre for Mental Health Sciences. All of these non-academic roles for Ph.D.’s have a strong reliance on knowledge synthesis, dissemination, and exchange. Another roundtable discussion will focus around technology transfer with invited speakers from industry involved in translation of health data and technology. Potential participants from FHSc include Dr. Robert Balogh or Dr. David Rudoler who work with the

³ In exceptional cases where the student has secured a partner placement beginning in year two, we will accommodate that placement by, for example, making the course available to the student virtually.

⁴ <http://cihr-irsc.gc.ca/e/45669.html>

Institute of Clinical and Evaluative Sciences data, Dr. Shilpa Dogra who has worked with Statistics Canada, and Dr. Nick Wattie who works with high performance athletes and sport organizations. Dr. Jennifer Abbass Dick, Dr. JoAnne Arcand, and Dr. Bill Kapralos have all used technologies to mobilize knowledge to patients, the public, and health care professionals. A course outline including weekly topics is available in Appendix A.

A third elective course will be relevant to the student's field and/or thesis topic. The third course can be drawn from the new PhD level electives created as part of this proposal, which provide depth of disciplinary knowledge. In addition "Advanced Disciplinary Studies" courses in Kin, HI and CPP, will ensure there are options available for graduates of the UOIT MHSc who may have completed all the relevant discipline specific courses.

A Candidacy Examination and Dissertation Proposal, which includes both a written and oral component, must be successfully completed before the completion of the second full time year. The written proposal will be a comprehensive outline of their research objectives and proposed methodology, and contain a literature review that addresses the current state of knowledge of their research topic. The oral examination will evaluate the students' grasp of the literature within and beyond their particular research topic, demonstrating where their work fits within the context of their discipline. As such, candidates will need to be well prepared for a comprehensive examination in order to successfully complete this requirement. The dissertation itself will not need to be interdisciplinary, but students will be encouraged to examine and articulate the interdisciplinary and translational implications of the research where appropriate.

Biweekly seminar series: The FHSc Research Seminar series has run biweekly since 2014, exposing students to a variety of health sciences research areas and designs (Please see Appendix F for a full archive of seminar speakers and topics). The diversity of seminar speakers emphasizes the interdisciplinary, collaborative nature of health sciences research. The Faculty also has leading national and international scholars visit UOIT twice per year, once in September and once in January, to speak on topics of broad interest to faculty and community partners. This course will require compulsory 70% attendance in the first 18 months of the PhD program. Students will be required to present on their original research in the series, in the 3rd and 4th year of the PhD and attendance will be strongly encouraged, but not compulsory in order to facilitate fieldwork for those students who are located at partner locations for some or all of their data collection. This will also enable those involved in international research collaborations to be away without missing compulsory courses.

Ph.D. Dissertation: The dissertation is the primary component of the Ph.D. and must make a new contribution to the field of study. Thesis work will greatly enhance the depth of field specific knowledge. An independent contribution and novel piece of work must be completed in order to satisfy the requirements for this degree, e.g. material must not have been published prior to commencing the dissertation. Research will be carried out under the direction of the student's supervisor or co-supervisors, in co-operation with a supervisory committee. Based on their own expertise, supervisors will guide the student's choice of topic. Each student must report his or her research in a written dissertation, which can be in either traditional form or manuscript format. The dissertation will be accompanied by an oral defence.

Additional courses as required: some students may require additional coursework to prepare them for the area that they have chosen. This will be determined at the start of the program by the student and supervisor, and a written agreement will be filed with the faculty graduate assistant. For full time students, there are no additional costs involved in completing additional coursework.

Description of the ways in which the programs fit into the broader array of program offerings.

The Faculty of Health Sciences offers a number of undergraduate programs in addition to the three field in the Master of Health Sciences. These programs are:

Bachelor of Health Sciences (Honours)

- Human Health Science specialization
- Public Health specialization
- Kinesiology (general)
- Kinesiology major: Exercise Science specialization
- Kinesiology major: Health and Wellness specialization
- Kinesiology major: Rehabilitation specialization
- Kinesiology major: Fitness and Health Promotion degree completion
- Kinesiology: OTA-PTA Degree Completion
- Medical Laboratory Science

Bachelor of Science in Nursing (Honours)

Bachelor of Allied Health Science (Honours)

RPN to BScN Bridge Program

More information on the Health Sciences programs can be found in the UOIT graduate and undergraduate academic calendars at <http://www.healthsciences.uoit.ca/>.

The proposed Ph.D. program extends current training opportunities for UOIT's Health Sciences' undergraduate and graduate students studying in the CPP, KIN, and HI fields. The faculty also has a postgraduate diploma in Work Disability Prevention in collaboration with the Canadian Memorial Chiropractic College. The Work Disability Prevention diploma offers online courses that may serve as elective courses for Doctoral students conducting research in this area.

Currently, the majority of the core faculty members in Health Sciences maintain full graduate faculty status, and most have supervised several Master's students. Some have supervised Doctoral students in other programs at UOIT or at other institutions. Likewise, several core faculty members from the Social Science and Humanities Faculty and Faculty of Business and Information Technology also maintain graduate faculty status, and possess significant experience in graduate student supervision (see Section 3a). The disciplinary backgrounds represented by the Health Sciences graduate faculty are wide-ranging and acknowledge the full continuum of health, from complex chronic conditions to optimal human functioning/performance. They include: behaviour change, biomechanics, clinical health disciplines, computer science, epidemiology, exercise physiology, motor behaviour, neuroscience, nursing, nutrition, psychology, social policy, sociology.

Research facilities are sufficient to support the Doctoral program. A Health Sciences Librarian will be available to guide students in their retrieval of peer-reviewed literature and how to ensure the material retrieved is from high quality journals. The Academic Success Centre (ASC) combined with the Teaching and Learning Centre (TLC) at UOIT provides academic services for graduate students in building skills in writing, teaching, and studying through consultations, workshops, and online resources. There is adequate laboratory space, and equipment is available to support Doctoral student research in KIN and HI. UOIT also boasts the Automotive Centre of Excellence (ACE). This \$100 million facility is the first testing and research centre of its kind in Canada, and in many respects, the world. It includes two climate chambers and a Climatic Wind Tunnel capable of wind speeds exceeding 240 kilometers per hour, temperatures ranging from -40 to +60°C and relative humidity ranging from 5 to 95 per cent. The features of this facility enable us to perform unique research and collect data related to human health and performance.

The Faculty of Health Sciences is committed to research excellence. Dr. Pierre Côté is a Canada Research Chair (CRC) in Disability Prevention and Rehabilitation. He has led a number of ground-breaking projects which have advanced our understanding of musculoskeletal disorders. Dr. Côté's research focuses on the causes of pain and disability related to musculoskeletal disorders, the interactions between individual and societal determinants of health, and interventions that will reduce the burden of chronic pain and disability. The new CRC in Healthcare Simulation will provide important leadership in an area of growing expertise in the Faculty, and will be a strong contributor to the new Ph.D. program. Dr. Carolyn McGregor, who is an important leader in the Health Informatics field, recently completed two terms (2007 to 2017) as a Tier 2 CRC in Health Informatics. She has led pioneering research in Big Data analytics, real-time event stream processing, temporal data stream data mining, business process modelling and cloud computing. She now progresses this research within the context of critical care medicine, mental health, astronaut health, and military and civilian tactical training.

Most faculty in our CPP field currently do not require significant on-site laboratory facilities as their research largely involves collaboration with community partners and/or database access. All Kinesiology faculty members who have been at the University for more than 3 years have state-of-the-art laboratory facilities funded by the Canadian Foundation for Innovation and Ministry of Research and Innovation grants. Finally, several faculty members hold, or are actively pursuing, external funding (e.g., NSERC, CIHR, SSHRC) to support their research programs and related doctoral student training. Of note, our Faculty currently holds funding from each of the three tri-council agencies, with our researchers as Principal Investigators.

Full-time Ph.D. students at UOIT are guaranteed a minimum of \$18,000 per year for four years. This will primarily come from TAs while the remainder will be provided by supervisors, research funding, and scholarships (both internal and external).

b. Student Demand

Statement on the general need and student demand.

At least three related trends spur student demand for the proposed Doctoral program in Health Sciences: (1) the need for research leaders who can excel as part interdisciplinary teams to address complex problems, and who have a broad knowledge base in the scholarship in knowledge creation, dissemination and transfer as well as the social and policy implications of health technologies and data; (2) a significant increase in the prevalence and incidence of non-communicable diseases and (3) structural changes in the economy, shifting the emphasis away from manufacturing and toward service sectors.

- (1) While graduate education seeks to develop "independent scholars", in recent decades collaborative and "inter-disciplinary" approaches to research have come to dominate the landscape of science. Team science is oriented toward addressing complex societal problems that cannot be reduced or simplified to what a single discipline has the tools to address. This is exemplified by the complex health problems that society must face. Simply put, by themselves traditional (socially constructed) disciplinary boundaries narrowly circumscribe health problems, and necessarily yield only partial solutions to complex human health problems. With biological, behavioural, environmental, and political causes, such problems require commensurate intellectual tools to be appropriately addressed.

Society and funders demand that publicly funded research translate into solutions that serve not only the interest of science, but also of society. Traditional "silo-based", uni-disciplinary science education tends to be predictable, satisfying for the scholar, and contributes to scientific advance, but seldom prepares scholars for the realities of team-based science and challenges in the

workplace beyond academia. Data published in *Canada's Fundamental Science Review*⁵ showed that approximately 40% of Ph.D.'s hold positions in Post-Secondary Education, with the majority being employed outside of academia and less than 20% gaining employment as a full-time professor. While our proposal retains the goal of creating "independent scholars" through rigorous training and supervision in the student's particular research domain, its appeal lies in the efforts to expand the boundaries of students' education so they gain exposure to, and knowledge of, health science paradigms and practices outside their own discipline.

It is the responsibility of a Ph.D. program to create a conscientious scholar whose research is just, rigorous, and useful to society. A Ph.D. graduate trained to be cognizant of the ways in which ethnicity, socioeconomic status, disability, sexual orientation, migration status, age, and geography intersect to determine health will be better able to meet the societal need for appropriate health research and policy/program creation. The proposed program will create a scholar who integrates Sex –and Gender- Based Analysis into their work to reflect the type of rigorous science capable of expanding our understanding of health determinants for all people. Likewise, wherever appropriate, Indigenous Health Research will be implemented and adapted into research projects to honour Indigenous culture, language, history, and traditions for equitable research opportunities. Each of the core courses have explicit learning outcomes relevant to indigenous culture. FHSc Assistant Professor Dr. Serene Kerpan is an expert in Indigenous research and scholarship and she will lend her expertise to ensure that the course content reflects these principles. Consistent with policies described in the Tri-council Policy Statement 2, chapter 9 for research involving Indigenous peoples and communities, trainees will understand the role of community-engaged research founded on reciprocity and respectful relations as a means to promote ethical research. Doctoral graduates will recognize Indigenous health research is based on the right to respectful engagement and equitable opportunities, as it honours culture, language, history, and traditions.

Finally, the proposed program recognizes the workforce demand for doctoral graduates who are not only experts in their designated fields, but also understand the broader technical, social and policy implications of health science research and translation. Conversations with our community partners have made it clear that there is a demand for a skilled, interdisciplinary scholar, which this proposal has considered in the design of this program (Please see Letters of Support in Appendix D).

- (2) Dramatic demographic shifts are changing Canada at large, but are occurring at a greater pace in the Toronto area and in the Durham Region. In fact, Durham Region is one of the fastest growing regions in the Toronto area and in Canada as a whole. Its population has increased by over 100,000 from roughly 500,000 to over 600,000 from 2001 to 2011.⁶ Adults aged 45 to 64 are the region's largest cohort;⁷ it is anticipated that this number will almost triple in coming years.⁸ Each of these factors, age, ethnicity, socioeconomic status, have a significant impact on health, and healthcare demands. Durham Region will need trained graduates to deal with complex health issues in individuals while understanding the context of local healthcare services. Addressing the health needs of a diverse population is an important societal need.⁹

⁵ Naylor, C. D., et al. (2017). *Investing in Canada's Future: Strengthening the Foundations of Canadian Research*. Retrieved from Canada's Fundamental Science Review: [http://www.sciencereview.ca/eic/site/059.nsf/vwapj/ScienceReview_April2017.pdf/\\$file/ScienceReview_April2017.pdf](http://www.sciencereview.ca/eic/site/059.nsf/vwapj/ScienceReview_April2017.pdf/$file/ScienceReview_April2017.pdf), accessed 22 March, 2018.

⁶ Durham Region Planning and Economic Development Department (2012). "Planning Region Planning Facts, February, 2012. [http://www.durham.ca/departments/planned/planning/stats-n-facts/census/2011/facts/2011-FACTS_Bulletin1.pdf], accessed 12 March, 2013.

⁷ Durham Region Planning and Economic Development Department (2012). "2011 Census – Age, Gender, Families & Households." October, 2012. [http://www.durham.ca/departments/planned/planning/stats-n-facts/census/2011/facts/2011-FACTS_Bulletin2.pdf], accessed 12 March, 2013.

⁸ Ontario Ministry of Finance (2012) "Ontario Population Projections Update". [<http://www.fin.gov.on.ca/en/economy/demographics/projections/>], accessed 22 February, 2018.

⁹ As Theodore Roszak, emeritus professor at California State University, put it, as the population ages industrial nations "will discover that health care is the highest stage of industrial development" (see Roszak, T (2007) "The

- (3) General need and student demand also stems from broad demographic and labour-market shifts toward the expansion of health care and health services. Based on data from the Statistics Canada's Labour Force Survey, the services sector share of the employment grew from 73% to 79% between 2000 and 2010, with the most substantive growth occurring in health care and social assistance sectors¹⁰. It has also been predicted that managers in health care fields will have the best job prospects.¹¹ Moreover, as with the population at large, the current health care labour force is aging, presenting a "looming shortage" in the existing health care workforce. Current professionals will require "upskilling" to accommodate the growing demand for health services. In view of the rapid and ongoing advance of health data, knowledge and technologies, higher levels of training and education will be required for health professionals to mobilize knowledge and technologies to more efficiently and effectively organize and deliver services. In fact, health care workers are more likely than others to participate in informal and formal training programs, and their employers are more likely to support these efforts.¹² These broad demographic shifts reflect ongoing changes in the labour market that are expected to continue. While the Region's population grows and labour force trends continue, there remains a deficit in workforce skills designed to serve the population. Population education attainment in the Durham Region falls well below the rest of the Greater Toronto Area Only 18.2% of the Durham population report holding a University degree, compared to 31.7% of those in the GTA and 24.7% of those in Ontario as a whole. At least in part, this gap in educational attainment is due to the historical dominance of industrial employment in the region wherein the demand for university credential has been comparatively low. Yet this region is undergoing a transition from a manufacturing to a knowledge-driven, service economy. This transition must be supported by a corresponding shift in the preparation of personnel available to fill positions in the new economy. The proposed program will help to service this need.

In the past 4 years, 15 of 72 (20.8%) of our Masters graduates have gone on to pursue PhDs elsewhere, with interest growing in recent years as the Master's program has matured.

A recent survey was sent to current full-time Faculty of Health Sciences Graduate Students who were asked the following two questions:

Are you considering doing a Ph.D. when you finish your masters?

If there was a Ph.D. offered at UOIT, would you consider doing your Ph.D. at UOIT?

Eighty-three percent of those surveyed (34/41 respondents) were considering enrolling a Ph.D. program upon completion of their Master's degree. Of those who answered the question, 95% (37/39) would consider completing their Ph.D. training at UOIT, demonstrating a strong overall demand for a Ph.D. among existing UOIT graduate students.

Based on this level of interest, it is anticipated that of the average of 25 students who complete the Masters in Health Sciences each year, a minimum of 20% will be interested in progressing to a Ph.D. program at UOIT, ensuring an enrolment of at least 5 students per year initially. As the program gains a

ecology of aging" *Shambala Sun*, November, pp. 79-85).

¹⁰ Research and Planning Branch, MTCU, *Labour Market Information & Research, The Ontario Labour Market in 2010*, p.12 (based on data from the Statistics Canada's Labour Force Survey).

¹¹ "Labour Market: Where are job trends headed in the future?"

<http://www.tcu.gov.on.ca/eng/labourmarket/ojf/trainingTrends.html>, accessed 22 March, 2018.

¹² See Allen, M.K., Ceolin, R. Ouellette, S., Plante, J. and Vaillancourt, C. (2007) *Educating Health Workers: A Statistical Portrait 2000 to 2004*. Ottawa: Culture, Tourism and Centre for Education Statistics Division. Durham Region Local Training Board (2011) *Health Care Occupations in Durham Region (Fifth Edition)*. http://durhamworkforceauthority.ca/wp-content/uploads/2012/10/Health_Care_Occ_April_2011.pdf (accessed, 22 February, 2018).

reputation, it will grow and attract students from other academic institutions, as well as those working in Health Science sectors who wish to advance their knowledge.

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

YEAR OF OPERATION	Ph.D. 1	Ph.D. 2	Ph.D. 3	Ph.D. 4	Ph.D. 5	TOTAL ENROLMENT
2019	5					5
2020	5	5				10
2021	7	5	5			17
2022	7	7	5	5		24
2023	7	7	7	5	2 ¹³	28

Student funding is guaranteed for 4 years. Students who have completed their research, but need additional time writing their dissertation may assume part-time status after the 4 years have been completed. A Ph.D. program should typically be considered a full-time venture, however we recognize that special circumstances may arise and part-time enrolments will be considered on a case by case basis as approved by the FHSc Dean. This is reflective of the overall flexibility of the program which aims to simultaneously serve students and our community partners by allowing them to work together to enhance the effectiveness of the overall program. Dedication to preparing our students to meet the changing demands of the workforce will be ongoing. Community partner input will continually guide the direction of our program of study.

Note: Part-time students will not receive the funding packages or guaranteed TA/RA placement that full-time enrolled students receive. In most cases, they will be employed full-time by either UOIT or our partners, and in many cases the employers will be providing tuition support. Part time tuition is \$8,338.08 per year and part-time enrolment is for a minimum of 4 years and a maximum of 8 years, while full-time is for a minimum of 2 years and a maximum of 6 years.

Note: Our institution recognizes that under certain circumstances, students may need to absent themselves from regular study while remaining connected to the program. Examples include, but are not limited to: Mat/Paternity leave; medical leave; extraordinary employment demands; compassionate circumstances. Such circumstances must be officially requested through the School of Graduate and Postdoctoral Studies and approved by the Dean of Graduate Studies. The time limits for completing the degree program will be extended by the duration of the leave taken.

c. Societal Need

Evidence of the need for graduates of the programs.

*Canada's Fundamental Science Review*⁵ underscores the need for rigorous scientific research to yield positive social and cultural benefits, transform education, and fuel economic growth and innovation. The panel calls for Health Science researchers to address the health threats arising from climate change, population aging (and the rising burden of dementia) and the consequent pressure put on Medicare programs. Toward achieving this end, the Faculty of Health Sciences at UOIT is made up of scholars whose research acknowledges the full continuum of health. This broad spectrum of backgrounds is what is required to arrive at effective solutions for the multifaceted health challenges of today.

As mentioned previously, our Ph.D. graduates will be trained to be cognizant of the ways in which ethnicity, socioeconomic status, disability, sexual orientation, migration status, age, and geography

¹³ Some students may take five years rather than four years to complete so we have estimated two students in year five of the program.

intersect to determine health, and will therefore be better able to meet the societal need for appropriate health research and policy/program creation. Students will be provided the opportunity to learn about engaging in research with unique communities, such as Indigenous Peoples, in the Research with Communities: Approaches and Best Practices doctoral level course. Students will learn the logistical, methodological, and ethical requirements of conducting research with community partners so that they are able to work with unique, vulnerable, or marginalized groups to answer complex research questions that address social needs in Canada. An awareness of social issues and the knowledge and skills on how to work with communities to address these issues ensures that FHSc Ph.D. graduates are well placed for leadership roles in a variety of arenas.

d. Duplication

Description of similar or complementary programs elsewhere in Ontario.

Students in the FHSc Doctoral program will work together in an interdisciplinary settings to evaluate advances in the way that we acquire and use health data, and the technical, ethical, social, and policy implications of these advances; as well as evaluating and implementing best practices for knowledge synthesis, dissemination, and exchange. Students from different fields will work together on evaluating issues from these multiple perspectives ensuring that both the content and the evaluation exposes them to an interdisciplinary perspective. The uniqueness of the FHSc Doctoral program is the way that it intentionally combines this interdisciplinary perspective with advanced training in individual fields (KIN, CPP, HI), preparing students for both traditional academic positions as well as a broad range of leadership positions within health sciences.

There is only one other PhD program in Health Sciences in Ontario. There are an additional 18 programs that have some overlap with the proposed program but are not a PhD in Health Sciences.

Institution:	Brock University
Program Name and Credential:	Ph.D.: Applied Health Sciences
Program Description:	includes specialty areas in behavioural and population health, health biosciences, and social and cultural health studies, pursuing the overarching aim of rigorous assessment of conditions contributing to health of individuals and groups.
Similarities and Differences:	The fields overlap with those proffered for the proposed program, however, the Brock program lacks the interdisciplinary focus necessary for the creation of a leader in professional pursuits beyond academia. It also lacks the explicit exposure to technology and associated issues and knowledge translation frameworks for the entire cohort.
Links:	(http://www.brocku.ca/graduate-studies/graduate-programs)

Institution:	Carleton University
Program Name and Credential:	Ph.D.: Health Sciences
Program Description:	provides in-depth advanced learning and hands-on, interdisciplinary research in health sciences. Explores the complexities of health problems and solutions through thesis and courses developed to explore interdisciplinary health topics.
Similarities and Differences:	The importance placed on interdisciplinary research echoes our programs sentiment, but this program does not include different fields and does not emphasize the role of technology.
Links:	https://graduate.carleton.ca/cu-programs/health-sciences-2/

Institution:	Queen's University
Program Name and Credential:	Ph.D.: Kinesiology and Health Studies
Program Description:	Studies human movement and responses thereto from a variety of perspectives – e.g., mechanical, physiological, health promotion, psychological, socio-cultural). Areas include: biomechanics/ergonomics, exercise physiology, physical activity epidemiology, health promotion, psychology of sport & physical activity, socio-cultural studies of sport, health and the body.

Similarities and Differences: There is overlap with the proposed Kinesiology field and its emphasis on health promotion corresponds with some aspects of the proposed field in Community, Public and Population Health (although advertised areas pertaining to psychology and socio-cultural studies relate to Sport and physical activity). It also aims to be “multi-disciplinary”, an initial step toward generating the interdisciplinary education that we aspire to in the proposed program. However, it does not include exposure to technology and associated issues and knowledge translation frameworks of our proposed degree. Queen’s School of Medicine includes a Department of Community Health & Epidemiology, and offers a Doctoral degree in Epidemiology (along with a non-thesis Master in Public Health).

Links: <http://www.queensu.ca/skhs/>
<http://www.queensu.ca/comhealth-epid/index.html>

Institution:	Western University
Program Name and Credential:	Ph.D.: Health & Rehabilitation Sciences
Program Description:	– includes “health promotion” as an interdisciplinary field that examines facets of individual, group, and community health. Likewise, fields of “health and aging” and “child & youth health” take an interdisciplinary approach to explore health issues related to populations of various ages.
Similarities and Differences:	This program corresponds with certain aspects of the proposed Kinesiology and Community, Public and Population Health fields. There appears little by way of explicit efforts to include an interdisciplinary approach to the examination of these problems, though in certain cases student supervision draws from various disciplines. Lacks emphasis on health technologies
Links:	http://www.uwo.ca/fhs/health_rehab_sci/index.html

An indication as to why the program is being offered on a “stand-alone” basis rather than as a joint program offered with another institution

The proposed program can and should operate on a “stand alone” basis for at least three related reasons:

- 1) No other program in the province offers the unique combination of fields that are included in the program being proposed herein. Some larger institutions offer separate degrees in similar fields, but as such they do not as readily encourage interdisciplinary education. The FHSc PhD program focuses on health data and technology, and the technical, ethical, social, and policy implications of these advances as well as best practices for knowledge synthesis, dissemination, and exchange. This is combined with advanced training in individual fields (e.g. KIN, CPP, HI). This approach is unique and will prepare students for a broader range of career options than a traditional Ph.D. program.
- 2) While the proposed Doctoral program will attract students from other parts of Ontario, Canada, and the world, our unique positioning vis-à-vis a large population east of Toronto offers an important attraction for the very brightest students, as well current health professionals interested in advancing their education, credentials, and careers.
- 3) The region offers significant research opportunities in health and health care for graduate students. Our network of research-interested partners in various region-wide health care organizations (e.g., Lakeridge Health, Ontario Shores, Grandview Children’s Centre, the Central East Local Health Integration Network, Durham Region Health Department) and community-based organizations (e.g., Durham Region Social Services, Community Development Council of Durham) already is large and will only expand. UOIT’s unique position enables the development of important partnerships across the region.

2. DEGREE REQUIREMENTS

a. Program Learning Outcomes

Connect with the Teaching and Learning Centre to review learning outcomes.

DLE	Learning Outcome	Element	Assessment
1) Depth and breadth of knowledge A thorough understanding of a substantial body of knowledge that is at the forefront of their academic discipline or area of professional practice including, where appropriate, relevant knowledge outside the field and/or discipline.	<ul style="list-style-type: none"> Investigate previous research, and create new knowledge, within their chosen Ph.D. field (KIN, CPP, HI). Evaluate the various advances in health data technology Critically appraise current Health Data Technologies particularly in reference to implications related to their use in health research 	<ul style="list-style-type: none"> Compulsory HLSC 7014G, HLSC 7010G & HLSC 7095G Research Seminar 7012G Requirement of one discipline specific elective course. 	<p>Students will be assessed using a combination of traditional evaluation methods including:</p> <ul style="list-style-type: none"> scholarly written work, oral presentations, critical thinking conveyed through in-class participation, oral and written examinations <p>In particular, HLSC 7014GG and HLSC 7010G will give students core knowledge of the substantial body of information at the forefront of current health practices.</p> <p>Doctoral student supervisors will use their field-rich expertise to judge students' knowledge base and help keep them on track with their knowledge expansion</p> <ul style="list-style-type: none"> Student thesis, Candidacy exams
2) Research and scholarship a) The ability to conceptualize, design, and implement research for the generation of new knowledge, applications, or understanding at the forefront of the discipline, and to adjust the research design or methodology in the light of unforeseen problems; b) The ability to make informed judgments on complex issues in specialist fields, sometimes requiring new methods; and c) The ability to produce original research, or other advanced scholarship, of a quality to satisfy peer review, and to merit publication.	<ul style="list-style-type: none"> Design and implement an original program of research to generate new knowledge within their chosen Ph.D. field (KIN, CPP, HI) Evaluate where their research fits within the broader context of their field of study to contribute and disseminate new knowledge Defend the significance (to science and society) of further exploration of knowledge gaps associated with their particular health sciences research question 	<ul style="list-style-type: none"> Compulsory HLSC 7014GG, HLSC 7010G & HLSC 7095G Research Seminar 7012G Requirement of one discipline specific elective course. 	<p>Students will be assessed using a combination of traditional evaluation methods including:</p> <ul style="list-style-type: none"> scholarly written work, oral presentations, critical thinking conveyed through in-class participation, oral and written examinations <p>In particular, HLSC 7096G will give students the opportunity to demonstrate advanced research and scholarship by meeting the learning outcomes and disseminating knowledge</p>

<p>3) Level of application of knowledge The capacity to:</p> <p>a) undertake pure and/or applied research at an advanced level; and</p> <p>b) contribute to the development of academic or professional skills, techniques, tools, practices, ideas, theories, approaches, and/or materials.</p>	<ul style="list-style-type: none"> • Develop an advanced research design that addresses a clearly articulated health science research question • Critically appraise relevant literature within and beyond the discipline of CPP, HI or Kin and identify knowledge gaps which are fruitful areas for further investigation • Construct unique solutions to problems surrounding data and technology use in health sciences research, training, and practice 	<ul style="list-style-type: none"> • Compulsory HLSC 7014G, HLSC 7010G & HLSC 7095G Thesis 7096G Research Seminar 7012G • Requirement of one discipline specific elective course 	<ul style="list-style-type: none"> • In particular, HLSC 7095G, and HLSC 7096G will give students the opportunity to demonstrate applied research at a level that contributes to the development of techniques, practices, ideas, theories, or approaches to their specific domain of study.
<p>4) Professional capacity/ autonomy</p> <p>a) The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex situations;</p> <p>b) The intellectual independence to be academically and professionally engaged and current;</p> <p>c) the ethical behaviour consistent with academic integrity and the use of appropriate guidelines and procedures for responsible conduct of research; and</p> <p>d) The ability to evaluate the broader implications of applying knowledge to particular contexts.</p>	<ul style="list-style-type: none"> • Evaluate knowledge from interdisciplinary perspectives and interact with researchers from different disciplines to create a solid foundation for becoming members of interdisciplinary research and professional teams • Discriminate different pedagogical and ethical principles involved in using technology to enhance the human experience, health related training, research and practice • Investigate the social and policy implications of advances in health data technology in our everyday lives, health care, and research 	<ul style="list-style-type: none"> • Compulsory HLSC 7014G, HLSC 7010G & HLSC 7095G • Thesis 7096G • Research Seminar 7012G • Requirement of one discipline specific elective course. 	<ul style="list-style-type: none"> • Oral presentations and panel discussions with discipline experts on social, policy and ethical implications of technology advances for healthcare professionals • Two mandatory presentations will occur as a part of the faculty seminar series. One will be on the thesis proposal and one will take place closer to the completion of the dissertation, or after data has been collected • Submission of REB approval, obtaining informed consent from research participants

5) Level of communication skills The ability to communicate complex and/or ambiguous ideas, issues and conclusions clearly and effectively.	<ul style="list-style-type: none"> • Formulate effective ways to communicate (health science related?) research with multiple audiences (e.g. general public, health professionals, academic journals and conferences, policy makers). • Articulate the scientific and practical significance of research findings within their original work. • Design and execute best practices for knowledge synthesis, dissemination and exchange within the field of health science research 	<ul style="list-style-type: none"> • Compulsory HLSC 7014G, HLSC 7010G & HLSC 7095G • Thesis 7096G • Research Seminar 7012G • Requirement of one discipline specific elective course 	Communication will be heavily assessed within both core and elective courses. Class discussions, oral presentations, critical questioning demonstrated through class participation and coherent, scholarly writing will be included as methods of assessment.
6) Awareness of limits of knowledge An appreciation of the limitations of one's own work and discipline, of the complexity of knowledge, and of the potential contributions of other interpretations, methods, and disciplines.	<ul style="list-style-type: none"> • Acknowledge the value of health sciences research methods and interpretations that are different from one's own work • Evaluate the literature in the health sciences field relative to their research, leading to the identification of gaps and limitations of past research approaches. • Weigh the limitations of their own research design and the knowledge generated therefrom 	<ul style="list-style-type: none"> • Compulsory HLSC 7014G, HLSC 7010G & HLSC 7095G • Thesis 7096G • Research Seminar 7012G • Requirement of one discipline specific elective course. 	<ul style="list-style-type: none"> • In-class discussions and presentation, literature reviews, candidacy exam and research proposal.

The plans for documenting and demonstrating the level of student performance have been designed specifically to be consistent with the degree level expectations. The program-level learning outcomes are based on the DLEs and onto these were mapped appropriate courses and methods of assessment. In accordance with section 4.5.15.3 of the Graduate Academic Calendar, student progress is evaluated at the end of each semester for every student engaged in research. Each student's research supervisory committee is responsible for evaluating research progress in relation to the student's overall research plan. Students may receive an evaluation of *Satisfactory Research Progress*, *Difficulties with Research Progress*, or *Unsatisfactory Research Progress*. Please see Appendix G for additional details regarding Progress Reports and program continuance.

The program will be externally reviewed during cyclical reviews, and assessed on an ongoing basis through indicators such as student grades, retention, and evaluation by supervisors. Classes and assessment practices as outlined in the proposal will be closely monitored on an ongoing basis through the internal curriculum committee. We will also monitor closely the career success of our students upon completion through alumni networking events and electronic communication.

All students are also required to complete a candidacy examination which includes both a written proposal and oral examination. The written proposal will be a comprehensive outline of their research objectives and proposed methodology, and contain a literature review that addresses the current state of knowledge of their research topic. The oral examination will evaluate the students' grasp of the literature within and beyond their particular research topic, demonstrating where their work fits within the context of their discipline. This will allow for an evaluation of the readiness of the candidate to

proceed and also an opportunity to provide further guidance. The dissertation and thesis defence is the culmination of their study in the program and will undergo a rigorous review and approval process.

b. Admission Requirements

The following academic requirements have been established by the UOIT Office of Graduate Studies and are the minimum required for entry into a Doctoral program at UOIT:

- Completion of a research project or thesis-based master's level degree from a recognized institution in the same area of graduate study or a closely related subject; and
- A minimum B+ average (GPA: 3.03 on a 4.3 scale).

Doctor of Philosophy (Ph.D.) in Health Sciences

In addition to the general admission requirements for Graduate Studies at UOIT, as described above from section 4.4.2 of the *Graduate Academic Calendar*, all applicants for the Doctor of Philosophy in Health Sciences program must provide the following program-specific requirements:

- 1) At least two letters of support from academic referees
- 2) A statement of academic interest describing the student's intended area of research, research experiences, and career aspirations;
- 3) Identification of a supervisor, and significant support from that supervisor, indicating the student's exceptional academic qualities and prospects and their willingness to supervise that student

Completion of a Master's thesis is preferred over a non-thesis masters, but is not required. Exceptional students who have demonstrated superior academic credentials and outstanding research potential in their master's degree program will be considered on a case-by-case basis, in consultation with the Dean. Similarly, master's education in health-related areas is preferred, but applicants from other research or education backgrounds may be admitted as special cases. Efforts will be taken to ensure a balanced student intake across our three programs of study, with an approximate distribution of 2 Community, Public, and Population Health, 2 Kinesiology, and 1 Health Informatics student each year, once student excellence and supervisor fit has been considered. Co-supervisors and committee members from other faculties will be considered wherever applicable with an aim toward enhancing the interdisciplinary nature of the program.

Doctor of Philosophy (Ph.D.) in Health Sciences – Advanced entry from the Master's program

In exceptional circumstances, students will be granted advanced entry after 1 year of the Master's program. Applicants for the "Advanced entry" Ph.D. pathway must have met both the University and Program Specific requirements, as well as have:

- 1) Completed at least four Masters courses, including the two core courses and either Biostatistics or Qualitative Methods or equivalent

As above, completion of an honours thesis or comparable research experience is preferred, but not required. Undergraduate education in health-related areas is preferred, but exceptional applicants from other research or education backgrounds with sufficient prerequisite subject knowledge may be admitted as special cases in consultation with the Dean.

c. Calendar Copy

The Doctor of Philosophy in Health Sciences (PhD) program focuses on providing students with opportunities to develop the knowledge and skills required to conduct high-quality research that culminate in a PhD thesis.

Graduate training focuses on research conducted in one of three fields in the Health Sciences:

- Community, Public and Population Health
- Health Informatics
- Kinesiology

The PhD in Health Sciences offers an interdisciplinary approach to health sciences doctoral training alongside depth of study in their individual field. The program prepares graduates for diverse careers within and beyond academia in tertiary institutions, research centres, hospitals and other clinical settings, community health promotion and illness prevention organizations, health and/or government policy, public health, clinical practices (Kinesiology), post-Doctoral fellowships, technology transfer, and research grants officers. For those students interested in securing academic appointments post-graduation, or for those who wish to broaden their skillset in general, UOIT has both an Academic Success Centre and the Teaching and Learning Centre to build the teaching skills necessary to successfully pursue an academic career trajectory. Wherever possible, we will endeavour to provide students with the opportunity to teach at least one course during their four years.

Coursework provides graduates with a framework for evaluating data and technology in health sciences research, training, and practice, where the technical, ethical, social, and policy implications of data collection, analysis, and storage are critically evaluated, and discussed in an interdisciplinary context. The mechanisms of knowledge synthesis, dissemination, and exchange as well as the ethical application of knowledge in health are critically evaluated using the CIHR knowledge translation framework <http://cihr-irsc.gc.ca/e/45669.html>. Graduates will gain the expertise to become effective research brokers in academic, professional, and research settings. Advanced communication skills will ensure that graduates can articulate the scientific and practical significance of their research to multiple audiences in multiple ways.

- 1) **Courses:** 4 courses -- 2 required, 1 elective (one semester each): as well as the research seminar which is compulsory.
 - a) Interdisciplinary Perspectives on Health Data and Technology (required) Fall Year One
 - b) Critical Perspectives in Research and Knowledge Translation for Health (required) Fall Year Two
 - c) Advanced
 - d) One elective course (e.g., content or design-focused depending on the student's needs) (one semester;¹⁴)
 - e) Research Seminar each semester
- 2) **Candidacy examination** (includes written proposal and oral examination).
 - a) **Thesis proposal** (written component): The thesis proposal should consist of a title page, abstract (350 word limit), background and problem statement, conceptual approach, literature review (brief), research design (e.g., sample, data collection and analysis procedures), and limitations. The proposal also should include a timeline for completion of various stages of the research. The written component should be succinct (depending on the research area, this may range from 4000 to 8000 words, excluding references, figures, tables, and intelligible to a non-specialist) that synthesizes relevant literature from the subject area (The supervisory committee is expected to guide students in preparation of the proposal and will meet at least once before the thesis proposal).

2) ¹⁴ Depending on the student's background and prior education, supervisors may require that students complete one or more additional courses. Also, one elective courses may be waived for students with sufficient background in their chosen field.

- b) **Oral examination:** The oral component will consist of a 30-minute presentation about the proposed research, with rounds of questions (from the Examination Committee). Questions will focus on theoretical foundations, frameworks, relevant prior work in the discipline, and appropriateness of the chosen research methodology. It will normally take place during the Winter term of the second year (pro rata for part-time students). The examination will provide students with an opportunity to articulate the scholarly context of the dissertation research they propose to undertake, and ultimately to assess their readiness to proceed. It will address broadly two questions: (1) where does my dissertation research fit within the broader literature in the area, and what gap does it fill? (2) What are the “collaborative or interdisciplinary” implications of the research? And (3), how effective are the selected conceptual frameworks, research design, and methodologies in answering the research question and how are their limitations addressed? The examination committee will consist of the supervisory committee (candidate’s research supervisor(s) and two other UOIT faculty members), the Associate Dean Research and Graduate Studies (AD-RGS) (or designate) who serves as Chair, and an external referee.

3) **Dissertation** and oral examination. (As usual.)

Year	Semester	Milestone
1	Term 1 - Fall	<ul style="list-style-type: none"> • Interdisciplinary Perspectives on Health Data and Technology • Elective (can be taken here or in winter depending on availability) • Ph.D. Research • Research Seminar
	Term 2 - Winter	<ul style="list-style-type: none"> • Ph.D. Research • Research Seminar
	Term 3 - Spring/Summer	<ul style="list-style-type: none"> • Ph.D. Research
2	Term 4 - Fall	<ul style="list-style-type: none"> • Critical Perspectives in Research and Knowledge Translation in Health Sciences • Research Seminar (cont.) • Ph.D. Research
	Term 5 - Winter	<ul style="list-style-type: none"> • Ph.D. Proposal and Candidacy Exam • Research Seminar (cont.) • Ph.D. Research
	Term 6 - Spring/Summer	<ul style="list-style-type: none"> • Ph.D. Research
3	Term 7- Fall	<ul style="list-style-type: none"> • Ph.D. Research • Research Seminar (cont.)
3-4	Terms 8 – 12	<ul style="list-style-type: none"> • Research Seminar (cont.) • Ph.D. Research: Data collection, analysis, etc. to completion & oral examination

3. RESOURCE REQUIREMENTS

a. Faculty Members, Current and New Faculty requirements

a. Faculty Members

Core faculty. The faculty members who will be involved in the graduate programs are full-time, tenure-track or tenured members of the university staff. Table 3.1 lists the faculty members by rank, field, home unit, and supervisory privileges. All of these faculty members have research and teaching records that qualify them to participate actively in the supervision of master's and doctoral students. 23 faculty members have full privileges (from having successfully graduated a minimum of two graduate students) and most of the 8 newer faculty will have met the requirements for full privileges by the time the program begins. The Curricula Vitae for all faculty members are provided in Volume II of this submission. They include individuals from all three fields of the proposed PhD:

Health Informatics includes the use of IT and technology based innovations to optimize the way in which health data is acquired, stored and retrieved, and the use of analysis of this data to generate new knowledge. This data can also be used to create high fidelity simulation environments for the training of undergraduate students in a variety of health disciplines. FHSc has a strong commitment to simulation research as evidenced the fact that they are in the process of hiring a Canada Research Chair in Healthcare Simulation, who would be attached to the Health Informatics field. UOIT has a number of academics whose work includes an informatics and simulation approach to health, and are currently attached to Masters in Health Sciences, who would also be involved in supervision of informatics PhDs (Drs. Carolyn McGregor, Fletcher Liu, Isabel Pederson, Winnie Sun). Other faculty members from Kinesiology (Dr. Nick LaDelfa), and Community, Public and Population Health (Drs. David Rudoler and Carolyn Barakat-Haddad) do research which involves modelling of various types of health data, Jennifer Percival is a former Health Informatics faculty member who has adjunct status and will also be available to serve on committees. Drs. Isabel Pederson, Carolyn McGregor and Wally Bartfay have a wealth of supervisory experience, and the earlier career faculty have a growing track record of Masters supervision.

Kinesiology includes faculty members in Neuromechanics (Drs. Bernadette Murphy, Paul Yelder, Nick La Delfa, Lori Livingston), Exercise Physiology (Dogra and Sprenger), Sport Psychology (Dr. Nick Wattie), Human Growth and Motor Development (Lloyd) and Physical Activity and Indigenous Health (Dr. Serene Kerpan). Murphy has strong track record of supervision at both Masters and PhD level. Drs. Yelder, Livingston, Lloyd and Dogra have a strong track record of Masters supervision with Drs. Paul Yelder and Lori Livingston also having previous PhD supervisory experience and Dogra currently supervising her first PhD student in Applied Bioscience. Drs. Nick Wattie and Nick La Delfa and Sprenger are early career researchers with a growing record of Masters supervisory experience, who will have full privileges by the time the PhD is approved, and Kerpan is a new hire, who will initially have co-supervisory privileges.

Community, Public and Population Health employs qualitative and quantitative research methodologies to examine, analyze, and gain an understanding of the environmental conditions and social determinants implicated in community health and wellness. CPP includes researchers such as Robert Balogh, Wally Bartfay and Wendy Stanyon who have supervised more than 14 Masters thesis students each and a number of faculty with a solid track record of 5 to 10 completed supervisions including Drs. Emma Bartfay, Toba Bryant, Joanne Arcand, Brenda Gamble, Holly Jones-Taggart, Hilde Zitzelsberger, and Manon Lemonde. Drs. Caroline Barakat-Haddad, Mika Nonoyama, Efrosini Papaconstantinou, and Ellen Vogel have all supervised at least two completed Masters theses and are currently supervising a number of other Masters students. Dr. Otto Sanchez has previously supervised 2 PhD students in addition to 9 Masters students. Dr. Pierre Côté has completed 2 Masters supervisions but he is currently supervising 8 Masters and 2 PhD students. His excellent record of accomplishment as a CRC, and in both funding and peer reviewed research publication (over 200 articles), means that he can provide strong leadership in

this field.

Faculty research is further encapsulated by the following four research pillars:

Biomedical and Clinical Health Research: molecular & cellular biology; chronic disease physiology; neuroscience; biomechanics & ergonomics; exercise physiology; nutritional science; behavioural sciences; sport performance

Health Policy, Systems, and Services: policy development and implementation; systems & services evaluation; health management; clinical information systems; data analytics; e-health

Sociocultural & Environmental Health: social health; indigenous health; special populations; environmental & occupational health; mental health; intellectual & developmental disabilities; preventative health & health promotion; sport science

Technology, Training, Education, & Knowledge Innovation: modeling & simulation training; immersive environments; skill acquisition; developmental pathways; performance excellence; learning; expertise development

Teaching strengths

Collectively, the faculty members have extensive experience supervising undergraduates, graduate students, and post-doctoral fellows (see Table 3,2). In addition, faculty have taught the graduate levels courses that will be offered as electives in the proposed program, including: Theory and Application of Biomedical Signals and Images, Studies in Kinesiology Studies in Community Health, Patient Journey Modelling, Advanced Qualitative Research Methods, Applied Biostatistics in Health Sciences, Health Research Approaches, Neuroscience in Rehabilitation Kinesiology, Public Policy & Health Promotion, Epidemiology, Multidisciplinary Approaches to Health Informatics, and Public Health in Canada. Moreover, faculty members' teaching accomplishments have been formally recognized by the university. For example, one faculty member received UOIT's Excellence in Teaching Award (Sanchez) and two have won the UOIT Research Excellence Award (Murphy and Cote). In sum, the faculty members have the teaching qualifications necessary to instruct M.Sc. and Ph.D. students in the proposed programs.

Other notable accomplishments. Faculty members also have a number of other notable accomplishments in the areas of research, teaching and service. For example, multiple members have served as:

- Editors of journals or been members of Editorial Boards
- Chairs of Research Ethics Boards
- Directors of Graduate Programs
- Members of Tricouncil Peer-evaluation committees
- NSERC section chairs
- Members of the World Health Organization

There are no new faculty requirements to run this program but budget has been allocated towards a teaching faculty member to replace faculty who will be teaching some of the graduate level courses.

Table 3.1 Faculty members by rank, home unit, and supervisory privileges.*

NAME	RANK ¹⁵	HOME	SUPERVISORY
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¹⁵ FHSc: Faculty of Health Sciences; FBIT: Faculty of Business and Information Technology; FSSH: Faculty of Social Sciences and Humanities *Note: once two successful Masters supervisions have been completed, at least one

		UNIT	PRIVILEGES
Jennifer Abbass Dick	Assistant	FHSc	CO
JoAnne Arcand	Assistant	FHSc	FULL
Robert Balogh	Assistant	FHSc	FULL
Caroline Barakat-Haddad	Associate	FHSc	FULL
Emma Bartfay	Associate	FHSc	FULL
Wally Bartfay	Associate	FHSc	FULL
Toba Bryant	Assistant	FHSc	FULL
Pierre Côté	Associate	FHSc	FULL
Shilpa Dogra	Associate	FHSc	FULL
Brenda Gamble	Associate	FHSc	FULL
Holly Jones-Taggart	Associate	FHSc	FULL
Serene Kerpan	Assistant	FHSc	CO
Nick La Delfa	Assistant	FHSc	CO
Manon Lemonde	Associate	FHSc	FULL
Lori Livingston	Professor	FHSc	FULL
Meghann Lloyd	Associate	FHSc	FULL
Fletcher Lu	Associate	FBIT	FULL
Janet McCabe	Associate	FHSc	CO
Carolyn McGregor	Professor	FBIT	FULL
Bernadette Murphy	Professor	FHSc	FULL
Mika Nonoyama	Assistant	FHSc	FULL
Efrosini Papaconstantinou	Assistant	FHSc	FULL
Isabel Pedersen	Associate	FSSH	FULL
David Rudoler	Assistant	FHSc	CO
Otto Sanchez	Professor	FHSc	FULL
Heather Sprenger	Assistant	FHSc	CO
Wendy Stanyon	Associate	FHSc	FULL
Winnie Sun	Assistant	FHSc	CO
Ellen Vogel	Associate	FHSc	FULL
Nick Wattie	Assistant	FHSc	CO
Paul Yelder	Associate	FHSc	FULL
Hilde Zitzelsberger	Assistant	FHSc	FULL

Table 3.2 Supervisory records/experience by faculty member.

NAME	COMPLETED			CURRENT		
	MASTER'S	Ph.D.	PDF	MASTER'S	Ph.D.	PDF
Jennifer Abbass Dick				3		
JoAnne Arcand	5			6	3	
Robert Balogh	15			4		
Caroline Barakat-Haddad	3			6		
Emma Bartfay	7			1		
Wally Bartfay	14			3		
Toba Bryant	5			3		
Pierre Côté	2		2	8	2	1
Shilpa Dogra	4			4	1	
Brenda Gamble	9			4		
Holly Jones-Taggart	8				3	

as full supervisor, faculty will attain full supervisory privileges for the PhD program.

Serene Kerpan	-	-	-	-	-	-
Nick La Delfa				2		
Manon Lemonde	8			7		
Lori Livingston	6	1		2		
Meghann Lloyd	13			4		
Fletcher Lu	4			2		
Janet McCabe				1	2	
Carolyn McGregor	18	8	4	6	3	
Bernadette Murphy	29	7		2	2	
Mika Nonoyama	2			2		
Efrosini Papaconstantinou	2			3		
Isabel Pedersen	9	10		1	1	
David Rudoler	-	-	-	-	-	-
Otto Sanchez	9	2		2		
Heather Sprenger	-	-	-	-	-	-
Wendy Stanyon	14			2		
Winnie Sun				4		
Ellen Vogel	2			2		
Nick Wattie	1			4	1	
Paul Yelder	12	1		2	2	
Hilde Zitzelsberger	6			3	1	

Publication records at UOIT by year and outlet.

YEAR	FACULTY MEMBERS	ARTICLES	BOOKS	BOOK CHAPTERS	REPORTS	CONFERENCE PRESENTATIONS
2017	24	92	1	14	2	90
2016	25	87	3	24	6	120
2015	21	93	1	25	8	117
2014	23	67	-	7	26	91
2013	20	50	-	12	18	91

Publication records, regardless of affiliation, by year and outlet.

YEAR	FACULTY MEMBERS	ARTICLES	BOOKS	BOOK CHAPTERS	REPORTS	CONFERENCE PRESENTATIONS
2017	26	97	1	14	2	94
2016	29	100	3	25	7	134
2015	27	105	2	30	9	136
2014	28	77	-	9	26	108
2013	29	63	-	13	22	113

Research funding at UOIT by source and year.

YEAR	FACULTY MEMBERS	CANADIAN GRANTING COUNCILS ¹⁶	CANADIAN GOVERNMENT ¹⁷	INTERNATIONAL GOVERNMENT	OTHERS
2017	28	\$196,788	\$1,010,430	-	\$714,024

¹⁶ CIHR, NSERC, SSHRC

¹⁷ Includes CRC & CFI

2016	29	\$232,203	\$200,000	-	\$722,652
2015	29	\$182,230	\$255,000	-	\$1,880,662
2014	26	\$47,327	\$245,000	-	\$509,336
2013	25 ¹⁸	\$230,816	\$115,000	\$4,990	\$1,668,385

Research funding, regardless of affiliation, by source and year.

YEAR	FACULTY MEMBERS	CANADIAN GRANTING COUNCILS	CANADIAN GOVERNMENT	INTERNATIONAL GOVERNMENT	OTHERS
2017	28	\$196,788	\$1,010,430	-	\$714,024
2016	29	\$232,203	\$200,000	-	\$722,652
2015	30	\$182,230	\$255,000	-	\$1,930,662
2014	29	\$505,090	\$245,000	-	\$517,009
2013	31	\$1,265,216	\$115,000	\$4,990	\$1,737,385

b. Additional Academic and Non-academic Human Resources

The Faculty of Health Sciences currently has available 0.5 of an administrative assistant to support the Health Sciences Master's program. An additional 0.5 position has been allocated in year one and year two to deal with program start-up. This expands to a 1.0 role in year three and will be a combination of administrative support and advising. The AD-RGS will be taking on additional administrative tasks as well. During the first two years of the proposed Ph.D. program, the AD-RGS's role will be expanded considerably to continue to administer the Master's program, as well as to develop new procedures and to routinize operations associated with a new Ph.D. program and to mentor the instructors of the core courses. At minimum, the job of implementing this program requires the provision of one additional full time equivalent course release associated with the standard teaching requirement. Within the bounds of relevant Collective Agreements, this will be allotted to either the AD-RGS, or an alternate. Additionally, we are hiring a Full Time Teaching Faculty member to teach undergraduate courses and allow current faculty members the space to teach in the graduate program.

In 2013, the FHSc created a Research Development Assistant (RDA) role to provide support for research initiatives within the Faculty. Under the direction of the AD-RGS, the RDA provides support for myriad Faculty research endeavours, as well as acting as a link to the Office of Research Services and the Teaching and Learning Centre. This role is responsible for the organization and facilitation of various research events including, but not limited to: New Year; New Ideas (an annual research symposium hosted on rotation at community partner locations to encourage collaborations and (re)connect for the start of the year); Welcome Back Retreat (the Faculty's annual September sharing of research and attention to the Strategic Plan for the year); the FHSc Research Seminar Series (a weekly seminar or workshop geared toward building graduate student skills – for a list of archived speakers please see Appendix F); Elevator Speech Event (our Faculty's personalized rendition of the 3 Minute Thesis Competition). The Faculty currently supports this position at 3 days a week, and we plan on devoting an extra 2 days of work for graduate program support with the implementation of the Ph.D. program. A portion of the RDA's salary comes directly from the UOIT Research Support Program.

The Office of Research Services (ORS), UOIT has recently added a Partnership Development role to support the Manager, Research Partnerships. The person selected for this role, Julia Armstrong, worked previously as the granting coordinator for the FHSc and we have a well established relationship with her. She is well versed in the research endeavours of the Faculty. The FHSc will leverage this Partnership Development Support team to strengthen our graduate programs.

¹⁸ This number is an approximation based on cumulative data, as an exact number could not be pulled from our records.

c. Student Support Requirements

It is expected that the minimum support for Doctoral students will be \$18,000 per year for four years. Funding will come from a variety of sources, including:

- External awards directly to students (e.g., SSHRC, NSERC, OGS);
- Graduate research awards and research assistantships from external grants to faculty members (e.g., SSHRC, NSERC, NIH, other external agencies);
- Teaching Assistantships (FSSH regularly has substantial needs for TAs to support the undergraduate programs);
- Sessional hiring to teach courses related to their area of expertise;
- Internal scholarships offered by the University for students with high entering averages;
- Provincial Loan Programs.
- Dean's scholarships: 5 four year Dean's scholarships of 10k per year have been included within the budget to ensure equity of access and support across the doctoral programme

Internal Scholarship Funding:

Candidates must apply on or before January 5th to be considered for internal scholarship funding. Candidates awarded an internal scholarship will be advised that if they are later successful in securing an external scholarship, their internal funding package will be revised.

The Faculty of Health Sciences, Graduate Program Committee will meet to rank applicants for internal scholarship funding and admission using the following criteria:

1. Excellence of the candidate
 - GPA, research outputs, statement of interest, reference letters, availability of external funding via scholarships or supervisor support
2. Fit between supervisor expertise and student
 - Ph.D. Supervisors must be research active (publishing and/or applying for external funding in accordance with discipline specific norms) to be eligible to supervise Ph.D. students
 - Supervisor and/or co-supervisor must have relevant expertise

Should spaces remain, the committee will meet again in late February to consider applicants for admission who met the UOIT January 31st deadline.

Normally, funding will not be provided to part-time students who work full-time and are unavailable for teaching and research assistance.

UOIT's Financial Aid and Awards Office offers students a range of financial services, including financial counselling.

Physical Resource Requirements

UOIT has recently endeavored to revisit the campus Master Plan. A consultative process was initiated to understand the future needs and desires of its faculties and service units. Amongst others, the FHSc identified graduate space for its Masters and Ph.D. students as critical to the success of these programs. Along with the already designated graduate spaces mentioned, HI students, in their connection to the Faculty of Business and Information Technology, will have space in UOIT's new, state of the art SIRC building on our North campus. The university will continue to grow and the Master Plan to expand space will ensure adequate space for our graduate students by 2021. Existing space will be able to accommodate the initial cohort of Ph.D. students in the interim.

Existing library resources: The goal of the UOIT Libraries is to enrich the research, teaching, study, and conversation of the University by providing exceptional library and information services and facilities to support all academic programs.

The UOIT Library system consists of four locations – North Oshawa, Social Science and Humanities, Education, and Whitby-Durham College. Each site provides individual and group study spaces, print and media collections targeted to the local audience, in-person reference and discipline specific classes, reserves, intercampus and interlibrary loans, and photocopiers and printers.

Detailed information about library resources is included in Appendix C.

Faculty Space:

Room Code	Room Name	Room Area m²
UAB346	Research (Dry) Lab	30.45
UAB355	Research (Dry) Lab	41.99
UAB350	Research (Dry) Lab	16.76
UAB356	Research (Dry) Lab	22.66
STG212	Research (Dry) Lab	73.82
STG213	Research (Dry) Lab	73.82
STG214	Graduate Research Space	20.30

4. BUSINESS PLAN

d. Statement of Funding Requirement

Projected graduate intake and enrolment for Ph.D. program by year.

YEAR	ENROLMENT					TOTAL ENROLMENT
	Ph.D. 1	Ph.D. 2	Ph.D. 3	Ph.D. 4	Ph.D. 5	
2019-20	5					5
2020-21	6	5				10
2021-22	6	6	5			17
2022-23	7	6	6	5		24
2023-24	7	7	6	6	2	28

Grant funding calculations by program.

Grant per FTE	\$25,346
Tuition - First Year	\$8338.08
Tuition - Second Year	\$8338.08
Tuition – Third Year	\$8338.08
Tuition – Fourth Year	\$8338.08
Tuition – Fifth Year	\$8338.08
Total Revenue - Year 1	\$164,251

Total Revenue - Year 2	\$361,353
Total Revenue - Year 3	\$558,455
Total Revenue - Year 4	\$755,556
Total Revenue - Year 5	\$854,107

Required number of course sections by year and term.

YEAR	COURSE SECTIONS		
	FALL	WINTER	TOTAL
2019-20	2		2
2020-21	3	2	5
2021-22	3	2	5
2022-23	3	2	5
2023-24	3	2	5

Projected revenue and expenses by year.

	2019-20	2020-21	2021-22	2022-23	2023-24
EXPENSES (\$)					
Sessionals	23,544	39,240	7,848	7,848	7,848
Administrative					
Course release	8,532	8,532	8,532	8,532	8,532
Dean's office + Support Staff + 18.5% benefits	34,437	34,437	48,212	68,875	69,908
Tenure Track Professor			118,500	125,610	133,146
OPERATING EXPENDITURES (\$)					
Promotion & Advertising	5,000	5,000	5,000	2,500	2,500
PERS Awards		2,500	2,500	5,000	5,000
Dean's Scholarships (\$10k each)	50,000	100,000	150,000	200,000	200,000
Doctoral thesis defences, external examiners				2,500	2,500
Research Assistantships		61,040	61,040	61,040	61,040
Other expenditures	5,000	5,000	5,000	5,000	5,000
TOTAL EXPENSES (\$)	\$126,513	\$255,749	\$406,632	\$486,905	\$495,474
Expenses as % of Revenue	77.0%	70.8%	72.8%	64.4%	58.0%
NET REVENUE	\$37,738	\$105,604	\$151,822	\$268,652	\$358,633
Net Revenue as % of Revenue	23.0%	29.2%	27.2%	35.6%	42.0%

OVERHEAD TO CENTRAL	40,085	88,187	136,289	184,391	208,442
Overhead % to institution	24.4%	24.4%	24.4%	24.4%	24.4%
Profit After expenses and Overhead	\$(2,347)	\$17,417	\$15,553	\$84,261	\$150,191
Minimum student funding required - \$18k per year	90,000	180,000	270,000	360,000	360,000
Potential TA/RAships	TRUE	122,080	183,120	244,160	244,160

Teaching assistant hours and capacity within Faculty.

We have adequate room in our current TA allocations to provide TA support for the planned enrolment for the first year, and it is likely that at least 5 sessional instructor positions will be available for the 3rd and 4th year PhD students. Therefore, we have budgeted for 5 RAships per year beginning in year two. Currently the Faculty of Health Sciences provides TAships for students attached to FHSc faculty who are enrolled in APBS and we also have to utilize undergraduate students to ensure coverage of all courses. Having Ph.D. students available as both TAs and sessional instructors will enhance our undergraduate program while providing funding for our Ph.D. students. Wherever possible, we will endeavour to provide those students who wish to pursue traditional academic appointments post-graduation with the opportunity to teach at least one course during their four years.



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

Financial Impact ☒ Yes ☐ No

Included in Budget ☒ Yes ☐ No

TO: Board of Governors

DATE: June 27, 2018

PRESENTED BY: Steven Murphy, President and Vice-Chancellor

SUBJECT: Establishment of a Master of Science in Nursing Joint Program

BOARD MANDATE:

The Board has the authority to establish academic, research, service and institutional policies and plans under section 9(b) of the *UOIT Act*.

In accordance with Article 8.9 (b)(i) of By-law Number 1, the Academic Council “shall advise the Board on ... the establishment and termination of degree programs”.

Academic Council hereby recommends for approval by the Board of Governors the attached program proposal for the establishment of the **Master of Science in Nursing joint program with the Trent-Fleming School of Nursing**.

BACKGROUND/CONTEXT & RATIONALE:

The Faculty of Health Sciences proposes a joint Master of Science in Nursing (MScN) program in response to current and emerging trends in health care delivery, nursing practice, and health care workforce needs. The University of Ontario Institute of Technology-Durham College (UOIT-DC) Nursing Program and the Trent-Fleming School of Nursing (TFSON) formed a partnership in 2015 to design and implement the proposed program which will focus on Professional Practice Leadership. Professional practice leaders are responsible for ensuring and implementing expert practice, facilitating professional development, providing leadership, and research; also, they are often charged with quality assurance and safety. The MScN program will prepare graduates to contribute to an increasingly complex health care sector by providing an education that

includes mentorship, interdisciplinary opportunities, and experiential learning through research, projects, and class assignments. Graduates of the program will be granted an MScN by UOIT in collaboration with Trent University, or a MScN by Trent University in collaboration with UOIT.

There are two unique aspects of the proposed program. First, the program will offer a full course focused on informatics, an emerging subject in nursing and health care. Second, the MScN will be an online program, with a time-efficient residency component, to ensure that current professionals with high working demands are able to pursue this program. The UOIT-DC/TFSON affiliation capitalizes on several important factors that further support the joint proposal for an MScN in Professional Practice Leadership including the geographic proximities of the institutions, the number and interest of shared practice partners benefit for working Registered Nurses, and the experience of both partners with successful collaborations.

Practice is an integral component of the nursing profession. The proposed MScN program will prepare nurses at a graduate level to take on leadership roles in professional practice with particular attention to experiential learning in a health care system that continues to experience significant and ongoing transformation. The collaborative MScN program offers a number of unique features that sets it apart from other MScN degree programs currently being offered. This includes dual admission streams, one for students who have a BScN and the other for diploma prepared nurses with considerable experience in the health care system. Additionally, the combination of online education with the physical catchment area of both UOIT and Trent University will naturally allow for more increased opportunity for Registered Nurses in rural populations to pursue a MScN. The hybrid delivery model of the program will include an intensive one week residency at the beginning of year one with the remainder of the program being offered online. The residency is built to support student success, giving students the space to foster relationships with student peers, faculty, and staff. While the mainly online component of the program provides the flexibility for working professionals to pursue the post-graduate education successfully.

RESOURCES REQUIRED:

An analysis of projected intake and enrolment can be found on page 13 of the attached proposal and anticipates a total enrolment of 40 students at maturity. Information on current and future human and physical resources begins on page 35. The proposed MScN builds upon existing resources from current UOIT FHSc graduate programs – including the Masters of Health Science (MHSc) and the Workplace Disability Prevention (WDP) Graduate Diploma. Faculty at each institution have been engaged in the supervision of graduate students at the Master's, PhD, and Post-Doctoral level. The individual courses will be taught by current faculty at UOIT-DC and TFSON, complemented by sessional instructors with relevant expertise in the field. Our practice partners have expressed interest in acting as sessional course instructors for the program.

One course co-ordinator from Trent and one from UOIT have been allocated to the Project course (e.g. overseeing 10 students each). One of the Faculty of Health Science's Program Assistants is already dedicated to graduate student issues. The administrative side of the Nursing Masters will be supported by this role. In addition to

existing resources, a TFSON faculty member will be granted some course release to support graduate nursing students and part of a program administrator's role and recruiter role will be expanded as programming continues to grow within the school in relation to the MScN.

IMPLICATIONS: Not applicable

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

The proposed MScN is consistent with, and contributes to, the overarching vision and mission of both UOIT and Trent University through its responsiveness to an existing regional need; while the learning outcomes, development process, and the proposed collaboration with educational and health care institutions, are fully consistent with this vision. Furthermore, the graduates will be prepared to respond to current needs and practice issues, as well as emerging needs within health care settings in a collaborative and interdisciplinary manner.

The proposed MScN is consistent with the UOIT mission statement. Through the creation of a flexible MScN program, responsive to the needs of professionals and the workplace and with a focus on health informatics, graduates will be well positioned to be leaders in the future of healthcare. Providing the option of a project or thesis stream, students will be supported to contribute to scholarly activities and inquiry that address practice driven questions and needs. The mentorship component of the program will engage students in connecting classroom based learning to 'real-world' application. By working collaboratively with existing practice partners, program faculty, staff and students will further develop both academic and research relationships with industry and community partners at local, regional, and provincial levels. Coordinating the creation of this program with multiple institutions will lead to an advancement of nursing research in the region and on a national level. Integrating students into existing health science classes fosters interdisciplinary education.

In relation to the Strategic Mandate Agreements (SMA), Health Sciences (including nursing) and social justice are highlighted as areas of institutional strength for both UOIT and Trent University. In relation to UOIT, growth within Health Sciences programming is identified as a proposed area of growth in the UOIT SMA. Offering an online MScN, with a short residency component, will make this program a viable option for students living in rural regions who may be unable to commit to taking studies in an urban centre or travelling for classes on a regular basis.

ALTERNATIVES CONSIDERED: Not applicable

CONSULTATION:

Respective practice partners of both UOIT-DC and TFSON were engaged in the development of the program. Collaboration on program development has been ongoing since 2015, with multiple meetings with practice partners and stakeholders. Formal procedures for new programs involve six components: the development a proposal brief by the initiating Faculty, in this case the joint program team; external evaluation to provide an assessment of program quality; internal response to assessment; approval of the proposal; submission of the proposal to the Quality Council and MAESD as

appropriate, and subsequent review of the program as part of the university's program review process.

The final proposal was approved by the Faculty of Health Sciences and subsequently reviewed by the Graduate Studies Committee in May 2018. It was reviewed by Academic Council in June 2018.

COMPLIANCE WITH POLICY/LEGISLATION:

The proposal was prepared in accordance with the requirements of the University's policies and procedures on new program submissions as outlined in the Institutional Quality Assurance Handbook (UOIT Academic Council revised June 2011).

NEXT STEPS:

Subsequent to the Board's approval, the proposal will be submitted to the Quality Council and Ministry of Advanced Education and Skills Development for final approval to launch the program.

MOTION FOR CONSIDERATION:

Pursuant to the recommendation of the Academic Council, the Board of Governors hereby approves the establishment of the proposed Master of Science in Nursing program, as presented.

SUPPORTING REFERENCE MATERIALS:

- Master of Science in Nursing program proposal



MASTER OF SCIENCE IN NURSING MScN (Professional Practice Leadership)

Joint MScN Program Proposal

**Faculty of Health Sciences, UOIT –DC Collaborative Nursing Program
Trent/Fleming School of Nursing, TrentU**

January 22, 2018

Last updated May 2, 2018

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1. Introduction

1.1 Background

In response to current and emerging trends in health care delivery, nursing practice, and health care workforce needs, the University of Ontario Institute of Technology-Durham College (UOIT-DC) Nursing Program and the Trent-Fleming School of Nursing (TFSON) formed a partnership in 2015 to design and implement the proposed Masters of Science in Nursing (MScN) program. The MScN will focus on Professional Practice Leadership. Professional practice leaders are responsible for ensuring and implementing expert practice, facilitating professional development, providing leadership, and research; also they are often charged with quality assurance and safety¹. The MScN program will prepare graduates to contribute to an increasingly complex health care sector by providing an education that includes mentorship, interdisciplinary opportunities, and experiential learning through research, projects, and class assignments. Graduates of the program will be granted an MScN by UOIT in collaboration with Trent University, or a MScN by Trent University in collaboration with UOIT.

There are two unique aspects of the proposed program ensuring that the program is appealing to potential candidates. First, the program will offer a full course focused on informatics, an emerging subject in nursing and health care. The impact of informatics in nursing has yet to be fully realized, and attention to this will contribute to the employability of our graduates in an evolving healthcare environment. Second, the MScN will be an online program, with a time-efficient residency component, to ensure that current professionals with high working demands are able to pursue this program. The residency will facilitate the establishment of a cohort relationship amongst students and facilitate project or thesis work. Faculty will also use the residency as a pre-assessment of students' level of proficiency in accessing and using the online learning platform such that the necessary training accommodations can be made for our mature students who may not have sufficient experience utilizing this type of platform. Together these aspects align with the foci of Trent University to "prepare students to make significant contributions to an increasingly complex world"² and the Strategic Plan Challenge at UOIT to "produce and inspire future leaders who have real-world skillsets"³.

The UOIT-DC/TFSON affiliation capitalizes on several important factors that further support the joint proposal for an MScN in Professional Practice Leadership including the:

1. geographic proximities of the institutions (both reside in the Central East LIHN, Trent University also has a site in Oshawa situated in close proximity to UOIT and DC campus);
2. number and interest of shared practice partners (see Appendix A)
3. benefit for working Registered Nurses, both programs, and the communities they serve who currently do not have access to a locally based graduate nursing program;
4. experience of both partners with successful collaborations; and
5. support from their respective institutions to form this partnership.

¹ Lankshear, S., et al. (2013). "Professional practice leadership roles: The role of organizational power and personal influence in creating a professional practice environment for nurses". *Health Care Manager Review*, 38(4), 349-360.

² Trent. (2017). *Trent University's Vision and Mission*. http://www.trentu.ca/newsevents/newsreleases_100625bog.php

³ UOIT. (2017). *2017-2022 Strategic Plan: Challenge, Innovate, Connect*. <https://www.uoit.ca/about/office-of-the-president/strategicplanning/index.php>.

Respective practice partners of both UOIT-DC and TFSON were engaged in the development of the program. Collaboration on program development has been ongoing since 2015, with multiple meetings with practice partners and stakeholders. This has resulted in a program proposal that meets the existing and emerging regional needs of the healthcare sector (in various contexts) as well as the needs of our graduates from the nursing programs at both institutions. The joint development of the program has served to further strengthen the UOIT-DC – TFSON partnership. Both partner institutions have agreed to have, at minimum, quarterly meetings with the necessary faculty and staff supporting the MScN to discuss any issues that may arise. With regard to student supports at each institution, student level of preparedness, and other such student related issues, cases will be marked and noted for resolution at quarterly meetings, or additional meetings may be set to accommodate. Further, as the budget models for both institutions vary, the Planning and Budgeting officers from each institution will attend meetings when necessary to collaborate on the efficiency of each model.

The collaborative MScN program reflects the philosophical underpinnings of the undergraduate programs at both UOIT-DC and TFSON. Both programs build on a critical theoretical perspective with principles of social justice underpinning the curriculum and pedagogical approaches. As outlined in their Strategic Mandate Agreements, both institutions design and implement programming that acknowledges basic legal, civil, and human rights. In addition we strive, in our programs, to facilitate a deeper acknowledgement and understanding of the lived realities created by inequity and inequality and their impact on health. This involves, a consideration of the impact of social determinants of health in order to effect direct patient care, shape health care systems, and inform health policy recognizing the needs of all people and communities. Wherever possible, we will also create awareness of the recommendations of the Truth and Reconciliation commission, particularly with respect to closing gaps in health outcomes for Aboriginal peoples, creating opportunities for Aboriginal peoples to receive health care training, recognizing the value of Aboriginal healing practices, and increasing awareness of intercultural competency, conflict resolution, human rights, and anti-racism. Our uniquely close collaborations with community partners allow both institutions to extend experiences within academic programming into direct action within our communities and beyond. (Please see section 1.4 below for additional details).

Ideally, the target implementation date for the first residency is the Spring/Summer term of the 2018/2019 academic year. Students of the MScN program will enrol in either a project stream (33 credits) or a thesis stream (33 credits). Both streams are equivalent to two years of full-time study, require the completion of a set of required courses with a focus on professional practice leadership, and the option to complete either a project or a thesis. This layout provides students with the opportunity to apply their coursework to specific areas of practice and build leadership competencies that align with their individual career goals. Thesis and project work will be grounded in the domain of professional practice leadership. Project stream students will develop projects with real-world impact supported by the identification of an onsite mentor, to assist with project guidance. The onsite mentor will be someone who works within the student's area of interest, identified prior to the project course commencing, and will normally be at the student's workplace or within their geographical region. Within the project course, the mentor will provide leadership mentoring to complement the academic mentoring and coordination provided by the

project course coordinator. The thesis stream is for students who would like to engage in and learn more about research, as well as students with academic career aspirations (e.g. teaching, pursuing further graduate education, etc.). Although it is 3 additional credits due to the thesis, there is no additional cost to the student as the project stream needs to take an additional 2 electives.

The experience and knowledge gained through required and elective course work as well as through completion of the research thesis or project will position graduates of MScN to:

- a) Practice with nursing core values incorporating both holism and social justice perspectives;
- b) Occupy and/or engage leadership positions in healthcare, government, and other health related settings;
- c) Provide Nursing leadership in a variety of settings (academic, clinical, and administration).
- d) Lead and support policy change at all levels;
- e) Lead health care delivery system redesign/design, implementation, and evaluation of changes;
- f) Manage health systems that include information systems/technology, evidence-based practices, information, and outcomes management;
- g) Provide expertise in management, legal and ethical issues, and strategic and organizational planning;
- h) Engage in and guide change at varying levels (e.g. unit change, organizational change)

Practice is an integral component of the nursing profession. Undergraduate nursing education provides an important segue to graduate nursing education. The latter is “often associated with advanced clinical nursing roles rather than the full range of professional roles performed by master prepared nurses”.⁴ The concept of professional practice has its roots in the Greek word *praxis*, identified by Aristotle as knowledge regarding action, concerned with particulars, and acquired by experience⁴. The proposed MScN program will prepare nurses at a graduate level to take on leadership roles in professional practice with particular attention to experiential learning in a health care system that continues to experience significant and ongoing transformation.

1.2 Unique Features of the MScN Program

The collaborative MScN program offers a number of unique features that sets it apart from other MScN degree programs currently being offered.

- a) **Dual admission streams.** The program will offer dual-admission streams. Stream A will be for students who have a BScN. Stream B will attract diploma prepared nurses with considerable experience in the health care system.
- b) **Health Informatics (HI) and Technology :** UOIT is home to cutting-edge HI researchers. These researchers will be positioned to prepare students to identify, develop, and manage health-care information systems that support the latest in administration, management, policy, training, and clinical management and research. In addition the Science, Technology, Engineering, and Mathematics focus of UOIT will position students to engage in innovative multidisciplinary work.

⁴ CASN (2015). *Nursing Practice in Master's Education*. Retrieved from: <https://www.casn.ca/wp-content/uploads/2014/10/Nursing-Practice-in-Masters-paper.pdf>

- c) Accessibility: The combination of online education with the physical catchment area of both UOIT and Trent University will naturally allow for more increased opportunity for Registered Nurses' in rural populations to pursue a MScN. The Trent/Fleming School of Nursing has more than 15 years of experience in teaching online nursing courses. The online nature, and relationships with surrounding communities could create pathways never before envisioned for nurses working in rural areas.
- d) Graduates will be well prepared to manage change and work within dynamic and transforming health care systems.
- e) Partnership Program (UOIT-DC & Trent-Fleming) with Community Practice Partners
- f) Mentorship Component (Practice Partners)
- g) Interdisciplinary learning environments and culture. The program offers opportunities to learn with and from other professionals.
- h) **Hybrid delivery model:** Intensive one week residency at the beginning of year one (Spring/Summer [May or August]); the remainder of the program will be offered online. The residency is built to support student success, giving students the space to foster relationships with student peers, faculty, and staff. While the mainly online component of the program provides the flexibility for working professionals to pursue the post-graduate education successfully. Teaching and supervision in tandem with academic mentors and practice partners.

1.3 Alignment with Mission and Vision of the Institutions

The proposed MScN is consistent with, and contributes to, the overarching vision and mission of both UOIT and Trent University. The vision of UOIT is to advance "...the discovery and application of knowledge that accelerates economic growth, regional development and social innovation and inspires graduates who will continue to make an impact on the world, as it is and as it will be."⁵ Trent University encourage[s] and celebrate excellence and innovation in teaching, learning, research and student development" and "strive[s] to make valued and socially responsible contributions to our local communities, to Canada, and to the world"⁶. The MScN program itself reflects these vision in it's responsiveness to an existing regional need, while the learning outcomes, development process, and the proposed collaboration with educational and health care institutions, are fully consistent with this vision. Furthermore, the graduates will be prepared to respond to current needs and practice issues, as well as emerging needs within health care settings in a collaborative and interdisciplinary manner.

The proposed MScN is consistent with all of the UOIT mission statements:

- *"Provide superior undergraduate and graduate programs that are technology enriched and responsive to the needs of students and the evolving workplace"*⁵
Through the creation of an online, flexible MScN program, responsive to the needs of professionals and the workplace, with a focus on health informatics, graduates will be well positioned to be leaders in the future of healthcare.

⁵ UOIT. (2017). *University Vision, Mission and Values*. Retrieved from <https://uoit.ca/about/university-vision-mission-and-values.php>.

⁶ Trent (2017). *Strategic Mandate Agreement (2017-20)*. Retrieved from: <https://www.trentu.ca/president/communications>

- *“Conduct research that creates knowledge, solves problems, results in economic and social innovation, and engages students”⁵*
Providing the option of a project or thesis stream, students will be supported to contribute to scholarly activities and inquiry that address practice driven questions and needs. The mentorship component of the program will engage students in connecting classroom based learning to ‘real-world’ application.
- *“Develop academic and research collaborations with industry and community that stimulate and enhance the region and university at home and abroad”⁷*
By working collaboratively with existing practice partners, program faculty, staff and students will further develop both academic and research relationships with industry and community partners at local, regional, and provincial levels. Coordinating the creation of this program with multiple institutions will lead to an advancement of nursing research in the region and on a national level.
- *“Facilitate life-long learning that is flexible, inclusive, and emphasizes college - university transfers.”⁸*
Given that many of the potential students for this program will be engaged in full or part time employment, and some may not have completed a bachelor’s degree, flexible options have been created that reflect the need to reach these groups (e.g. part time, prior learning recognition).
- *“Cultivate a dynamic learning environment for students by promoting social engagement, fostering critical thinking, and integrating experiences inside and outside the classroom.”⁹*
Integrating students into existing health science classes fosters interdisciplinary education. And conducting research and projects will provide opportunities for students to apply knowledge outside the classroom in diverse contexts.

In relation to the mission statements of Trent University, one of the missions is to: “Prepare students to make significant contributions to an increasingly complex world by providing them with a distinctive liberal arts, science or professionally focused education, which is enhanced by global perspectives, experiential learning and interdisciplinary approaches to personal and professional development.”⁶ This proposed Masters degree for nurses, with a focus on professional practice leadership, will “Prepare graduates to make significant contributions to an increasingly complex health care sector by providing them with a distinctive education, which is enhanced by global perspectives, experiential learning and interdisciplinary approaches to develop their personal and professional capacity to:

- Occupy and/or engage leadership positions in healthcare, government, and other health related settings;
- Manage health systems that include information systems/technology, evidence-based practices, information, and outcomes management;

⁷ Ibid

⁸ Ibid

⁹ Ibid

- Lead and support policy change at all levels;
- Lead health care delivery system redesign/design, implementation, and evaluation of changes.

Another of Trent's mission statements is to "Develop strong partnerships and collaborations with external communities, professions, and other institutions, as well as within our Colleges, departments, and programs."¹⁰ The proposed MScN program is a collaborative endeavour between the two-university/college partnerships and in collaboration with the larger health care institutions in both the Durham and Peterborough Counties.

This proposed Masters degree for nurses, with a focus on professional practice leadership, will prepare graduates to contribute to an increasingly complex health care sector by providing an education that includes mentorship, interdisciplinary opportunities, and experiential learning through research, project, and class assignments. The collaborative approach to the MScN program, engaging two post-secondary nursing programs (UOIT-DC, Trent-Fleming) signifies the potential for meaningful partnerships that will impact the health of individuals and communities and contribute to expanding research programs in both Durham and Peterborough Counties. Furthermore, the collaboration with health care institutions (e.g. Durham Public Health, Lakeridge Health, Ontario Shores, Peterborough Regional Health Centre, Peterborough City/County Public Health Unit, Ross Memorial Hospital, Northumberland Hills Hospital) will contribute to the impact on the local communities.

1.4 Alignment with Provincial Strategic Mandate Agreements and Demonstrating Program Impact

In relation to the Strategic Mandate Agreements (SMA), both the Health Sciences (including nursing) and social justice are highlighted as areas of institutional strength for both UOIT¹¹ and Trent University¹². In relation to UOIT, growth within Health Sciences programming is identified as a proposed area of growth in the UOIT SMA. Trent University's SMA highlights Nursing as a program area of strength. In addition, two of Trent University's identified program areas of expansion are in alignment with this proposed program: 4. Social Justice and Global Development and 5. Health, Culture and Society.

The approach to teaching in the proposed MScN will be innovative, the degree is designed to increase access to graduate nursing studies, build on partnerships with local institutions, and incorporate application of knowledge in practice. In collaboration with our community partners, interdisciplinary research training opportunities will ensure that graduates are well prepared to take on leadership positions within the healthcare sector. To allow for this level of training, the program has been designed for community partners to have a direct role in the education of our students. Beginning with the first core course in the program map, students will have the

¹⁰Ibid. page 4

11. UOIT. (2018) Strategic Mandate Agreement. Retrieved from:

<https://shared.uoit.ca/shared/departement/opp/Governance/Office-of-the-Provost/university-administrative-council/documents/2018/UOIT%20SMA%20Final%20December%2021%20-%20For%20publication.pdf>

12. MTCU, Trent University (2014). Strategic Mandate Agreement (2014-17). Retrieved from:

<https://www.trentu.ca/vpacademic/initiatives/strategic-mandate-agreement>.

opportunity to learn directly from qualified community partners. In both the thesis and projects streams, students are expected to become effective research brokers in both professional and research settings. It is critical that students have the scholarly ability to evaluate and implement best practices for knowledge synthesis, dissemination and exchange, as described in the CIHR knowledge translation framework¹³. Students will be provided with a foundational understanding of knowledge translation and given opportunities to practice this, in order to ensure that graduates can effectively apply their knowledge in practice. Exposure to interdisciplinary perspectives through program content, course design, and interactions with community partners will prepare graduates of this MScN program to be effective Professional Practice Leaders.

The need to “capture institutional strength in program delivery methods that expand learning options for students and improve the learning experience and career preparedness” is addressed in Section 2 (Teaching and Learning) of both UOIT’s and Trent’s SMA. Offering an online MScN, with a short residency component will make this program a viable option for students living in rural regions who may be unable to commit to taking studies in an urban centre or travelling for classes on a regular basis. Metrics, which will demonstrate program impact, that will improve through the creation of this program are:

- The number of students participating in experiential learning opportunities
- An increase in the number of online courses and registrations
- Student and host satisfaction rates with experiential learning opportunities.

The proposed program is consistent with section 6 of UOIT’s and Trent’s SMA - Institutional Collaboration to Support Student Mobility. This program will be offered through a collaboration of two university/college partnerships (UOIT/Durham and Trent/Fleming). These institutions have long-standing and successful collaborations for their Bachelor of Science in Nursing degree programs. The advantages of having multiple collaborations involved includes access to the support and expertise of a diverse faculty, increased regional access to programming, an awareness and responsiveness to the unique regional needs, geographic proximity and relevancy for students, the promotion of lifelong learning at local institutions, as well as access to existing infrastructure at all institutions. These are two of the most integrated and successful nursing program university/college partnerships in the province. Specifically, metrics represented in both SMAs^{14, 15} which will be improved, through implementation of this program, are increases in:

- The number of joint programs established between Trent University and UOIT
- The number of new students attracted to joint UOIT-Trent programs
- Financial efficiencies achieved through collaboration between UOIT and Trent University

1.5 Alignment with Strategic Planning

The proposed MScN aligns with existing strategic plans at both UOIT and Trent University in relation to the nursing programs. The creation of the MScN will increase the capacity for nursing research within and across the collaborative partnerships. We anticipate a positive impact on the average total research funding per full-time faculty as well as total research investment from social enterprises.

13. CIHR (2012). *Moving into action: We know what practices we want to change, now what? An implementation guide for health care practitioners*. Retrieved from: <http://cihr-irsc.gc.ca/e/45669.html>.

While UOIT is currently in the process of updating the Nursing Strategic Plan, the proposed MScN aligns with the previous Strategic Plan and is reflective of the recommendations from a recent Undergraduate Program Review. It will support the involvement of UOIT-DC experts in research, provide opportunities to expand programs of research, and provide access to graduate students. This will assist faculty in expanding their individual and collective programs of research and increase the awareness of faculty research, bringing it to the broader community of front line and administrative leaders, which will have the potential to expedite the uptake and translation of knowledge into practice.

The proposed MScN is congruent with, and builds upon, existing resources from current UOIT FHSc graduate programs – including the Masters of Health Science (MHSc) and the Workplace Disability Prevention (WDP) Graduate Diploma. UOIT has been offering a MHSc since 2010 and there are well-established courses in Health Research Approaches, Biostatistics and Qualitative Research Methods. These courses can be adapted to be run online for similar courses in the MScN. The faculty has a solid record of accomplishment in MHSc supervision, having graduated 104 Masters students to date. The new WDP Graduate Diploma is fully on-line, and has two courses: HLSC 5040G Studies in Work Disability Prevention and HLSC 5413G, Occupational Ergonomics and Work Disability Prevention that will serve as relevant electives for the MScN students. Further, Trent's faculty are qualified and experienced in delivering core courses in Quantitative and Qualitative Research Methods and Statistics as evidenced through teaching successes in Queen's University's online MN-NP program.

The proposed MScN is also congruent with the Strategic Priorities (2014-19) of the Trent/Fleming School of Nursing. These include: "Become a network of excellence for nursing and social justice" and to realize this, one of our goals (2.1) is to "be recognized for our unique, integrated framework for nursing and social justice" and that "We have a unique Master's degree with a concentration in nursing and social justice."¹⁴

Within the FHSc at UOIT, the UOIT-DC Nursing Program, and the TFSON, there are a number of small research clusters in areas relevant to professional practice. For example, experts at both institutions explore mental health awareness and healthcare simulation; UOIT's University Student Mental Health Awareness Research Team (U-SMART) assesses determinants of mental health in undergraduate students; experts from UOIT, DC, and Trent investigate how simulation training through serious gaming can be used to improve the way first responders respond to individuals with mental illness, and more. UOIT faculty have developed Mindsight, a free on-line resource to teach people about mental illness, and a new mindfulness online resource. Experts at Trent have created an Application that connects students to mental health services in their community. Due to their breadth of faculty with mental health expertise, Trent also has a graduate diploma in mental health and addiction approved and forthcoming in 2018. Currently UOIT is recruiting a Canada Research Chair in Simulation who will be well positioned to advance research and mentor students and faculty in the use of simulation for improving professional practice.

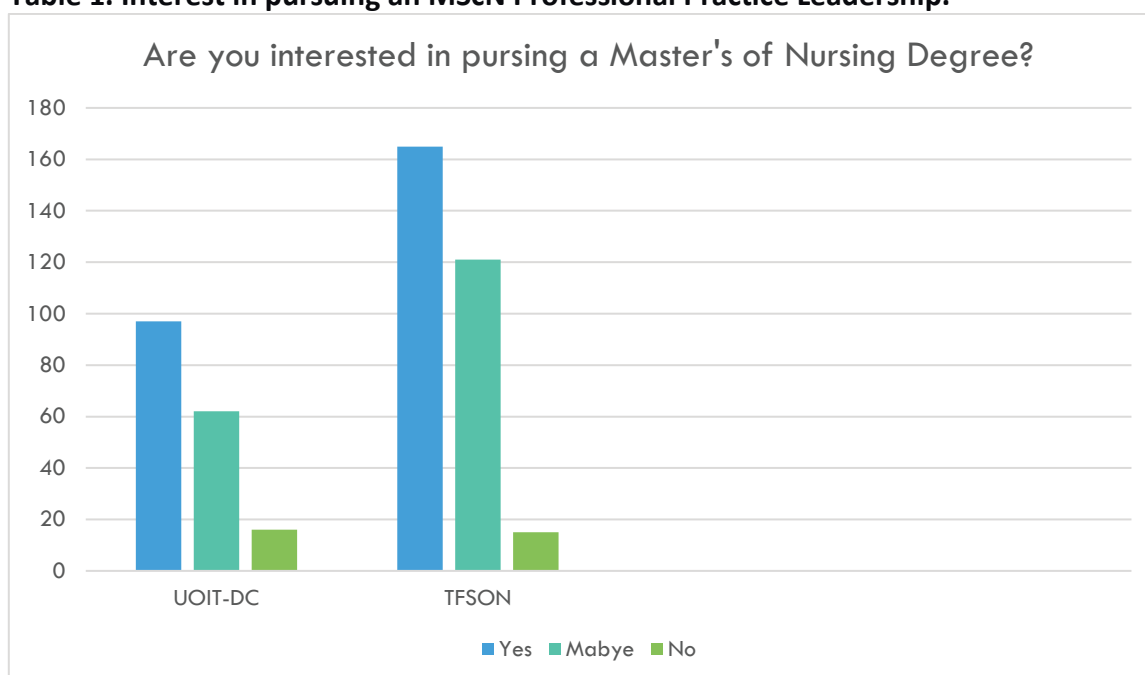
¹⁴ Trent (2014). *Preparing Nurses to Foster Social Change: The Strategy for the Trent-Fleming School of Nursing 2014-2019*. <http://www.trentu.ca/nursing/documents/TFSONStrategicPlan2014-2019.pdf>

1.6 Student Demand

As noted earlier, prospective students will be those individuals currently in good standing as Registered Nurses practicing in various positions within regional health care agencies/institutions and government. This may include nurse managers, nurse educators, and professional practice leaders, as well as front line registered nurses who wish to advance their knowledge and skills. Demand for a program with a focus in Professional Practice Leadership within the nursing profession was clearly communicated in discussions with practice partners.

Both UOIT-DC and TFSON surveyed students in relation to their interest in pursuing a MScN in the spring of 2017 (see Table 1). UOIT-DC surveyed former graduates and 4th year nursing students (n=175), specifying their interest in pursuing a MScN at UOIT-DC. Recurring comments were: “I love the idea of a new Masters program” and “Wish you had this sooner.” Trent University also surveyed students and graduates; 143 students and 156 Graduates responded to the survey (n=299). When asked about their preferred mode of delivery, 32.3% favoured online only and 52.7% favoured a hybrid format, which combined face-to-face and on-line learning.

Table 1. Interest in pursuing an MScN Professional Practice Leadership.



1.7 Proposed Admissions

A total of twenty students will be admitted to the MScN on a yearly basis (see Table 2); approximately 10 students will be admitted through UOIT-DC admissions and an additional 10 students through TFSON. The year of operation being 2018/19 initially is due to the fact that students begin their program in the Spring which is the end of the Academic Year. The initial class sizes are not expected to exceed 20 students. However, some MHSc students may choose to enroll in some of the nursing courses (e.g., Health Research Approaches or Biostatistics) because they are offered online, which may increase the class size to 25. While this may increase class size to some extent, it will also add an element of interdisciplinary education. The converse holds true as well: if

a student has the flexibility, they could take the face-to-face version of these two courses should they wish to. Students will begin their studies in the Spring/Summer term of the academic year.

Table 2. Projected enrolment by year of operation and program year at UOIT* and Trent University

Year of Operation	MScN Year 1 UOIT	MScN Year 1 TrentU	MScN Year 2 UOIT	MScN Year 2 TrentU	Total Enrollment
2018/2019	10	10	0	0	20
2019/2020	10	10	10	10	40
2020/2021	10	10	10	10	40
2021/2022	10	10	10	10	40
2022/2023	10	10	10	10	40

*These are numbers of students not FTE course equivalents

1.8 Societal Need for a MScN

A Masters of Science in Nursing (Professional Practice Leadership), especially in the Durham and Peterborough areas, is timely given several current contextual factors that require specially prepared leaders in nursing practice. The current Canadian health care context is undergoing reform with increasing attention on the provision of community care, primary health care approaches across all domains of practice, as well as a focus on the social determinants of health and health equity. This requires health system transformation, and nursing professional practice leaders are required to further this agenda. Despite high graduation rates, there is a tightening and compromised nursing labour market¹⁵. In fact, there is an expected shortfall of almost 60,000 FTE Registered Nurses by 2022 in Canada. There are important trends influencing leadership and health care delivery within complex healthcare settings including quality/safety initiatives, restructuring and redesign (e.g., program management), and changing scope of practice. MScN programs that are responsive to the shifting landscape of nursing and health care are essential in preparing existing and future health care leaders. In addition, new and ever-changing technologies are being incorporated in healthcare environments to maximize patient safety and access to care. These elements create complexities at the interface of practice and information technology (Health Informatics). As well, the use of technology, clinical guidelines, information systems, and data management practices, require professional practice leaders in nursing to know how to optimize the collection, storage, and use of information with patients, and in healthcare.

Reflecting these factors, the purpose of the proposed MScN in Professional Practice Leadership program is to prepare graduates who (1) are grounded in the core knowledge of the discipline of nursing; (2) are able to enact advanced leadership roles in nursing practice and health systems more broadly; and (3) have substantive knowledge in the domain of nursing practice, health systems, health informatics, and policy. The program is designed to promote evidence-informed practice in the many contexts in which master's prepared nurses influence the delivery of care, the advancement and application of knowledge, and the evolution of policy and system change.

¹⁵ Canadian Nurses Association (2009). *Tested Solutions for Eliminating Canada's Registered Nurse Shortage*. Ottawa. Author.

It is the responsibility of a graduate program to create a conscientious scholar whose research is just, rigorous, and useful to society. A MScN graduate trained to be cognizant of the ways in which the social determinants of health, including, but not limited to ethnicity, socioeconomic status, disability, sexual orientation, migration status, age, and geography, intersect to determine health outcomes will be better able to meet the societal need for appropriate health care delivery. The proposed program will create a scholar who integrates Sex-and Gender- Based Analysis into their work to reflect the type of rigorous science which expands our understanding of health determinants for all people. Dr. Michelle McIntosh, Associate Professor/Trent, brings expertise in the area of sex and gender based analysis/research. Wherever appropriate, Indigenous Health Research will be implemented and adapted into research projects to honour Indigenous culture, language, history, and traditions for equitable research opportunities. Explicit learning outcomes relevant to Indigenous culture are identified in the course outlines (see Appendix F.). UOIT Assistant Professor, Dr. Serene Kerpan, is an expert in Indigenous research and scholarship and will lend her expertise to ensure that course content and learning outcomes reflects these principles. Consistent with policies described in the Tri-council Policy Statement 2, chapter 9 for research involving Indigenous peoples and communities, students will understand the role of community-engaged research founded on reciprocity and respectful relations as a means to promote ethical research. MScN graduates will recognize Indigenous health research is based on the right to respectful engagement and equitable opportunities, as it honours culture, language, history, and traditions.

1.9 Duplication of Programming

As of 2014 there were 32 Master of Nursing programs offered across Canada, 11 of which were located at Ontario Universities¹⁶. The Canadian Association of Schools of Nursing (CASN) has identified the need for master prepared nurses who can use their education and position in clinical settings to influence systems change and promote nursing care at a variety of levels in both clinical and other settings¹⁷. Despite the existence of 11 Masters of Nursing programs in Ontario, the creation of this MScN in Professional Practice Leadership will provide opportunities for those who have been unable to access Master's level education and provide flexible options (online).

Registered Nurses in the Peterborough and Durham regions, who want to pursue graduate education either for advancement and preparation for nursing positions (nurse managers, educators, advanced practice nursing), or to gain additional knowledge in research and academia, have had to pursue this education at universities outside of these regions. This has a negative impact on the metrics of Section 1 (Jobs, Innovation and Economic Development) of UOIT's and Trent's SMA (i.e., graduate employment rates and number of graduates employed full-time in a related job). The needs and realities of the health systems and potential students have been recognized through the utilization of a hybrid approach to the program along with the development with local organizations.

Both Trent and UOIT have met with regional health care sector employers and there is strong

¹⁶ Canadian Association of Schools of Nursing (2013). *Nursing Masters Education in Canada Final Report: 2012*. Ottawa: Author. Retrieved from: <http://www.casn.ca/education-home/>

¹⁷ Canadian Association of Schools of Nursing. (2015). *National Nursing Education Framework: Master's*. Ottawa: Author. Retrieved from: <http://www.casn.ca/education-home/>

interest in offering this graduate degree locally with the active participation of our partners. Ontario Shores has worked closely with the team in the development process to develop one a required course (NURS 5119G Program Evaluation for Healthcare Leaders) and will continued to be involved in its delivery. In addition to making it feasible for local nurses to obtain advanced degrees in nursing, a locally available MScN will also increase the possibility for change and innovation in health care in the region. From the perspective of metrics – the areas of the SMA in which this impact would be demonstrated are:

- Number of students engaged with local employers and social enterprises in experiential learning
- Number of industry [institutional] research partners.

2. Degree Requirements

2.1 Graduate Degree Level Expectations and Program Level Outcomes

The table below maps the Ontario Council of Academic Vice President's (OCAV) graduate degree level expectations (GDLES)¹⁸ for a Master's degree with learning outcomes (informed by the CASN National Nursing Education Framework) to the proposed MScN in relation to program design, learning outcomes from courses, and assessment methods.

Expectation	Learning Outcomes	How program design and elements support the attainment of student learning outcomes	Learning outcome: Method of assessment
1. Depth and Breadth of Knowledge	<ul style="list-style-type: none"> Develop an in-depth knowledge of health systems, policy, and changing contexts of nursing and healthcare that builds on the knowledge of a baccalaureate nurse. Demonstrate an in-depth understanding of interprofessional collaboration in preparation for advanced nursing leadership roles. Appraise nursing related safety and quality assurance initiatives 	<p>Students are required to take the following compulsory courses to attain the learning outcomes:</p> <p>NURS 5119G Program Evaluation for Health Care Leaders</p> <ul style="list-style-type: none"> Critically examine the key concepts, theories, and frameworks of planning, monitoring and evaluation Comprehend ethics, cultural competencies, and professional standards to bring rigour and quality in evaluation practices <p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> Understand and differentiate between the types of research methods, their strengths, 	<p>Students will be assessed on a combination of 'real world' applications in combination with traditional evaluative components including:</p> <ul style="list-style-type: none"> Quizzes, midterm and final examinations to assess knowledge depth and breadth, critiques of case studies and course related themes (e.g. evaluation types), academic papers (e.g. policy) Individual student work in the thesis or project stream will provide the opportunity for additional focused knowledge growth in a specific area

¹⁸ Ontario Universities Council on Quality Assurance. (2012). *Appendix 1: OCAV's Undergraduate and Graduate Degree Level Expectations*. Retrieved from: <http://oucqa.ca/framework/appendix-1/>

		<p>weakness, and rigour, used in the field of Health Sciences</p> <ul style="list-style-type: none"> • Produce a research product (such as a grant or scholarship application) that addresses important elements of research methods <p>NURS 5123 Qualitative Research Methods</p> <ul style="list-style-type: none"> • Explain principles of knowledge translation as they pertain to qualitative research <p>NURS 5111G Health and Public Policy</p> <ul style="list-style-type: none"> • Critically examine the different theoretical and ideological perspectives from which policy is conceptualized <p>NURS 5021G Advancing Nursing through Leadership</p> <ul style="list-style-type: none"> • Critically evaluate the applicability of selected theories and concepts to nursing leadership • Examine current evidence-informed competencies for effective nursing leadership at all levels of practice (e.g., front-line care provider, middle-level nurse leadership, executive 	
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		<p>nurse leadership), including, for example, effective change management and innovation, effective teamwork and the ability to manage conflict</p> <ul style="list-style-type: none"> • Identify the key change management strategies and tools associated with successful healthcare innovations. • Critically reflect on the important trends influencing leadership and health care delivery within complex healthcare settings, particularly quality/safety initiatives, restructuring and redesign (e.g., program management), changing scope of practice. • Explore healthcare finance, including business case development. <p>NURS 5118G Applied Biostatistics in Health Sciences</p> <ul style="list-style-type: none"> • Design an analytical plan to analyze health-related data • Conduct descriptive analyses of data collected in a research project 	
2. Research and Scholarship	<ul style="list-style-type: none"> • Apply a systematic approach to gather evidence, plan, implement 	NURS 5119G Program Evaluation for Health Care Leaders	Students will be assessed on a combination of 'real world'

	<p>and evaluate solutions to nursing practice and health care system problems.</p> <ul style="list-style-type: none"> • Collaborate in research, engage knowledge development, synthesis and quality assurance related initiatives using core research methods within current practice settings. • Analyze different methods of inquiry used while engaging in written and oral scholarly activities relevant to nursing professional practice leadership. 	<ul style="list-style-type: none"> • Explore traditional and innovative methods for data collection and analysis for evaluation <p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> • Understand and differentiate between the types of research methods, their strengths, weakness, and rigour, used in the field of Health Sciences • Generate research questions and plan research studies utilizing different types of research methods • Evaluate different measurement tools and for their utility in proposed studies • Produce a research product (such as a grant or scholarship application) that addresses important • Identify and describe ethical principles involved with health sciences research, and critically examine the role of institutional and national research ethics boards. 	<p>applications in combination with traditional evaluative components including:</p> <p>Papers, responses to case studies, policy analysis in presentations and papers, critical appraisals of research, in class assignments and discussion related to research design</p> <p>Specifically NURS 5010G (Research Approaches for Nursing and Health Sciences) includes the development of a research question, critical appraisal of original research, development of a research product (e.g. research proposal, grant application).</p> <p>Within both thesis and project streams students will have the opportunity to demonstrate a systematic approach to their thesis or project and will have to integrate and apply knowledge of research, quality assurance and demonstrate a connection to the practice environment.</p>
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		<p>NURS 5111G Health and Public Policy</p> <ul style="list-style-type: none">• Analyze the social, political and economic contexts in which policy is created and enacted• Interpret health and social policy processes in the context of larger social trends and political mandates;• Examine how policies differentially affect particular populations and shape health and social inequities <p>NURS 5021G Advancing Nursing through Leadership</p> <ul style="list-style-type: none">• Explore relational capabilities associated with effective leadership (e.g., emotional intelligence)• Identify the role of professional practice leaders in optimizing the collection, storage, and use of information in healthcare <p>NURS 5118G Applied Biostatistics in Health Sciences</p>	
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		<ul style="list-style-type: none">• Develop a research question and select the appropriate bio-statistical method to answer the question• Design an analytical plan to analyze health-related data <p>Conduct descriptive analyses of data collected in a research project</p> <p>NURS 5123 Qualitative Research Methods</p> <ul style="list-style-type: none">• Compare qualitative and quantitative research approaches in terms of: research assumptions, logic of design and analysis, core objectives, and central limitations;• Compare the various types of qualitative designs, identifying their similarities, differences, and the types of issues each is best suited to explore;• Critically assess the strengths and limitations of various qualitative approaches and techniques of data collection;• Analyze and critically assess data derived from interviews and other	
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		qualitative data	
3. Level of Application of Knowledge	<ul style="list-style-type: none"> • Design innovative solutions to problems/issues in a specialized area of the nursing practice. • Critique complex health system issues across multiple levels, from individual patient care to coordination amongst different organizations • Analyze current and emerging trends in nursing and the health sciences, to synthesize evidence to inform strategic responses at both the unit and organizational level. 	<p>NURS 5119G Program Evaluation for Health Care Leaders</p> <ul style="list-style-type: none"> • Analyze how to integrate planning, monitoring and evaluation into project management <p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> • Produce a research product (such as a grant or scholarship application) that addresses important elements of research methods <p>NURS 5111G Health and Public Policy</p> <ul style="list-style-type: none"> • Analyze the social, political and economic contexts in which policy is created and enacted • Interpret health and social policy processes in the context of larger social trends and political mandates <p>NURS 5021G Advancing Nursing</p>	<p>Level of application knowledge will be assessed through in class assignments as well as the completion of either the thesis or project. In addition students, through course work, will be required to complete policy analysis papers, critical appraisals of research and case studies, and engage in a mentorship change project. Application will also be assessed through traditional methods (i.e. quizzes, exams).</p>

		<p>through Leadership</p> <ul style="list-style-type: none"> • Critically reflect on the important trends influencing leadership and health care delivery within complex healthcare settings, particularly quality/safety initiatives, restructuring and redesign (e.g., program management), changing scope of practice. • Further develop effective strategies and competencies to address challenges facing nursing leaders at all levels of leadership practice (e.g., conflict management, coaching and mentoring, empowering leadership). • Explore healthcare finance, including business case development <p>NURS 5118G Applied Biostatistics in Health Sciences</p> <ul style="list-style-type: none"> • Develop a research question and select the appropriate biostatistical method to answer the question • Design an analytical plan to analyze health-related data • Conduct descriptive analyses 	
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		<p>of data collected in a research project</p> <ul style="list-style-type: none"> • Perform basic biostatistical analyses and interpret results of health-related projects • Critically appraise the analysis of health-related data 	
4. Professional Capacity/autonomy	<ul style="list-style-type: none"> • Illustrate professional and ethical accountability and respectful communication • Analyze the impact of professionalism and ethical accountability within nursing practice environments <p>Demonstrates initiative, professional responsibility and accountability to address the complex issues in an advanced nursing professional practice role</p>	<p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> • Identify and describe ethical principles involved with health sciences research, and critically examine the role of institutional and national research ethics boards <p>NURS 5111G Health and Public Policy</p> <ul style="list-style-type: none"> • Examine how policies differentially affect particular populations and shape health and social inequities • Critically examine how nurses and other health professionals can influence policy development and implementation 	All courses and in particular research project and thesis will address and assess professional capacity and autonomy.

		<p>NURS 5021G Advancing Nursing through Leadership</p> <ul style="list-style-type: none">• Critically evaluate the applicability of selected theories and concepts to nursing leadership• Examine current evidence-informed competencies for effective nursing leadership at all levels of practice (e.g., front-line care provider, middle-level nurse leadership, executive nurse leadership), including, for example, effective change management and innovation, effective teamwork and the ability to manage conflict• Further develop effective strategies and competencies to address challenges facing nursing leaders at all levels of leadership practice (e.g., conflict management, coaching and mentoring, empowering leadership) <p>NURS 5123 Qualitative Research Methods</p> <ul style="list-style-type: none">• Describe key ethical issues surrounding the conduct of	
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		qualitative research;	
5. Level of Communication Skills	<ul style="list-style-type: none"> Formulate effective ways to communicate nursing related research with multiple audiences (ie: general public, health professionals, academic journals and conferences, etc.) <p>Evaluate different communication strategies to ensure clear and respectful communication to manage change and conflict in a variety of nursing leadership roles</p>	<p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> Communicate research findings from studies employing different methods effectively to lay audiences and the scientific community <p>NURS 5021G Advancing Nursing through Leadership</p> <ul style="list-style-type: none"> Explore relational capabilities associated with effective leadership (e.g., emotional intelligence) Further develop effective strategies and competencies to address challenges facing nursing leaders at all levels of leadership practice (e.g., conflict management, coaching and mentoring, empowering leadership) 	<p>Communication will be heavily assessed within the NURS 5010G course, and the Advancing Nursing through Leadership course. Specifically in relation to the mentorship change project. All courses and in particular research project and thesis. In class discussions as well as scholarly writing (e.g. analysis papers, scholarly papers) will be included as methods of assessment</p>
6. Awareness of Limits of Knowledge	<ul style="list-style-type: none"> Demonstrate an awareness of gaps in their own nursing knowledge and the need to seek further knowledge when appropriate. Support the value of nursing practices that are different from 	<p>NURS 5021G Advancing Nursing through Leadership</p> <ul style="list-style-type: none"> Explore traditional and innovative methods for data collection and analysis for evaluation 	<p>Courses : All courses and in particular research project and thesis</p>

	one's own work	<p>NURS 5010G Research Approaches for Nursing and Health Sciences</p> <ul style="list-style-type: none"> Identify and describe ethical principles involved with health sciences research and critically examine the role of institutional and national research ethics boards <p>NURS 5111G Health and Public Policy</p> <ul style="list-style-type: none"> Examine how policies differentially affect particular populations and shape health and social inequities Identify new directions needed in health and social policy development <p>NURS 5118G Applied Biostatistics in Health Sciences</p> <p>Critically appraise the analysis of health-related data</p> <p>NURS 5123 Qualitative Research Methods</p> <ul style="list-style-type: none"> Identify and assess techniques to ensure the quality and rigor of qualitative research. 	
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2.2 Admission Requirements

As previously identified, two streams will be available for entry to the MScN program. In 2004, the basis for entry-to-practice in nursing in Ontario became a four-year university degree. Prior to that time, nurses could be licensed as a Registered Nurse upon completion of an accredited college program. There are still practicing nurses in Ontario who do not have a baccalaureate degree but who occupy leadership positions (educators, managers etc.) in clinical practice settings, or are interested in professional practice leadership. Normally, these nurses would need to return to school to complete a baccalaureate prior to entering a master's program. This cohort of nurses possesses an extensive body of experience and knowledge and providing an alternate admission stream will reduce the barrier to this cohort to entering graduate studies.

This program would not be unique in offering an alternate admission stream. Currently, York University offers an alternate admission process to nurses with diplomas. Qualified applicants are admitted to the Faculty of Health as visiting students and complete upper-level courses in nursing at the undergraduate level. They are not granted a baccalaureate but after completion of specific courses are considered to have met the requirements for admission to York's MScN program.

a) *Stream A: Bachelors of Science degree in nursing (or equivalent).*

Registration in good standing, as a Registered Nurse, with the licensing body in the province in which they work (e.g. In Ontario this would be the College of Nurses of Ontario); GPA of at least 3.0 (B grade or a 73%) from an accredited university, in the last two years of study.

b) *Stream B: RN + Experience*

Registered Nurses with 10 or more years of experience, registered and in good standing with the licensing body in the province in which they work (e.g. In Ontario this would be the College of Nurses of Ontario), will be considered for admission. Candidates will be required to have completed the academic equivalent of the following University level courses. A minimum weighted average of 80% across the three courses must have been achieved (may apply for course equivalency and/or recognition of experience through a Prior Learning Assessment & Recognition – PLAR - process).

- i. Course 1: Nursing Theory (e.g.: NURS 1420 - Development of the professional self; or NURS 2420 – Knowing Through Inquiry)
- ii. Course 2: Research Methods & Theory (e.g. HLSC 3910U Research Methods for Health Care Professionals)
- iii. Course 3: Communications Course (Writing) (e.g. HLSC 1701U Academic Writing Perspectives in Health)

The PLAR will include a review of an applicant's prior experience and education for equivalency to a baccalaureate in nursing. The listed courses may be taken at any accredited university either in the classroom or online. In the case of UOIT prospective graduate students who wish to upgrade or take university courses would apply as a non-degree undergraduate student, and subsequently apply for admission to graduate studies (admission would not be guaranteed).

International students who hold a baccalaureate degree in nursing from an accredited university,

with a GPA of not less than 73% and who are registered/authorized to practice in their home country will be considered for admission.

The admission criteria proposed here are consistent with those of other master's programs at universities across Ontario (see Appendix G).

2.3 Program Structure – Program Maps

Two program options will be available to students 1) thesis-based and 2) project-based. Both options engage students in independent scholarly inquiry and students from either program will be eligible for admission to most nursing PhD programs. The full time program map is presented below, and a Part Time completion option can be found in Appendix C.

A thesis will include thorough research of the topic, a demonstration of rigorous critical thinking and analysis, detailed methodology and results, and includes thorough discussion and verification of knowledge claims. Theses would generally be 100-130 pages in length. The project paper is shorter than a thesis but also involves extensive research and a strict methodology. As with a thesis, students must demonstrate their ability to work independently in a scholarly manner. The questions or problems the students this stream choose will in general be more applied than in thesis stream and will likely come out of issues that have arisen in their practice settings or in the practice settings in which they do their practicums. Major papers would generally be 50-60 pages in length.

Thesis-based – 33 credits

The thesis option prepares nurses for professional practice leadership with an emphasis on simultaneously building advanced knowledge and understanding in research. Through engagement in a thesis, students will have the opportunity to contribute to the advancement of nursing knowledge and be prepared to work in research, health care, or academic environments with an advanced understanding of research.

- 6 semesters full time
- 7 1-semester courses
 - 7 required (21 credits)
- Thesis (12 credits)

Project-Based – 33 credits

The project-based option prepares nurses for professional practice leadership. Given the additional coursework, students explore additional content in their particular areas of interest. Through engagement in a research project, students focus their scholarly inquiry on a project that may involve quality assurance, policy analysis or the investigation of a clinical issue.

- 6 semesters full-time
- 9-1 semester courses
 - 7 required (21 credits)
 - 2 electives (6 credits)
- Research Project (6 credits)

2.4 Calendar Copy

The Master of Science in Nursing (MScN) program focuses on professional practice leadership and will prepare graduates to contribute to an increasingly complex health care sector by providing an education that includes mentorship, interdisciplinary opportunities, and experiential learning through research, project, and class assignments. Professional practice leaders are responsible for ensuring and implementing expert practice, the facilitation of professional development, research,

and providing leadership; they are often charged with quality assurance and safety as well and the program is designed to develop expertise in these areas. The program is largely on-line but begins with a one week face to face residency component to ensure that current professionals with high working demands are able to pursue this program.

The course outlines for all both new and existing courses can be found in Appendix F. Required courses, for both the thesis and project based streams are:

- NURS 5020G Philosophy of Nursing Science
- NURS 5010G Research Approaches for Nursing and Health Sciences
- NURS 5118G Applied Biostatistics for Nursing and Health Sciences

OR

NURS 5123G Qualitative Research Methods

- NURS 5119G Program Evaluation for Healthcare Leaders
- NURS 5111G Health and Public Policy
- NURS 5021G Advancing Nursing through Leadership
- NURS 5205G Informatics for Nursing and Health Sciences

2.5 Program Map

The program map presented below is based on full time study, with students beginning in the Spring/Summer Session of the academic calendar.

Full Time Program Map – Master of Science in Nursing, Professional Practice Leadership – Year 1		
Spring	Fall	Winter
NURS 5119G Program Evaluation for Health Care Leaders	NURS 5020G Philosophy of Nursing Science	NURS 5118G Applied Biostatistics for Nursing and Health Sciences Pre-Requisite: NURS 5010G Research Approaches for Nursing OR NURS 5123G Qualitative Research Methods Pre-Requisite: NURS 5010G Research Approaches for Nursing
Orientation (on site residency required), identification of thesis topic or research project, identification of supervisor	NURS 5010 G Research Approaches for Nursing and Health Sciences Pre-Requisite: Undergraduate nursing courses in statistics and research methods (or equivalent)	NURS 5205G Informatics for Nursing and Health Sciences

Full Time Program Map – Master of Science in Nursing, Professional Practice Leadership – Year 2		
Spring	Fall	Winter
NURS 5021G Advancing Nursing through Leadership	NURS 111G Health and Public Policy	NURS 5096G MScN Thesis in Nursing Advanced/Professional Practice OR NURS 5097G Nursing Advanced/Professional Practice Research Project PreRequisite: HLSC 5010G / HLSC 5118G OR NURS 5123G Qualitative Research Methods
Thesis Students – REB Proposal Elective (Project Stream)	NURS 5096G MScN Thesis in Nursing Advanced/Professional Practice OR NURS 5097G Nursing Advanced/Professional Practice Research Project PreRequisite: HLSC 5010G / HLSC 5118G OR NURS 5123G Qualitative Research Methods	Elective (Project Stream)

2.6 Possible Electives (but not limited to):

The following is a list of possible electives open to students enrolled in the project stream at both Trent University and UOIT.

Trent University – Possible Electives
<ul style="list-style-type: none"> • CSID-ENGL 5501H-CAST 6401H: Identities and social movements • CSID 5701H-HIST 5101H-SUST 5701H-TCP5 5503H-CAST 6501H: Feminist, gender & women's studies • CSID-SUST 5801H-CAST 6801H: Aging, health & society • EDUC-5110H: Curriculum Theory • EDUC-5120H: Evaluation of Curriculum & Instruction: A Critical Approach • EDUC-5420H: Issues in Post Secondary Education • PSYC 5560H: Relationships and Health <p>Courses from the Mental Health and Addictions Graduate Diploma, and when approved, Master's program</p>
University of Ontario Institute of Technology – Possible Electives (online and on campus)
<ul style="list-style-type: none"> • HLSC 5040G - Studies in Work Disability Prevention • HLSC 5413G - Occupational Ergonomics and Work Disability Prevention • HLSC 5050G - Patient Journey Modelling • HLSC 5060G - Special Topics in Health Sciences Research • HLSC 5102G - Intro to Community Based Research • HLSC 5111G - Public Policy and Health Promotion • HLSC 5113G - Strategies in Health Promotion Practice • HLSC 5115G - Community Health of Vulnerable Populations • HLSC 5117G - Epidemiology • HLSC 5119G - Program Evaluation • HLSC 5121G - Living with Persistent Conditions • HLSC 5122G - Successful Ageing • HLSC 5124G - Public Health in Canada • HLSC 5125G - Health of Individuals with Disabilities • HLSC 5190G - Advanced Topics in Community Health Research • HLSC 5203G - Adoption, Use and Impact of Health Informatics Systems • HLSC 5204G - Artificial Intelligence in Health Care • HLSC 5205G - Multidisciplinary Perspectives in Health Informatics • HLSC 5290G - Advanced Topics in Patient Journey Modelling • HLSC 5291G - Advanced Topics in Health Informatics Research • HLSC 5301G - Exercise Rehabilitation I • HLSC 5302G - Exercise Rehabilitation II • HLSC 5303G - Clinical Biomechanics • HLSC 5310G - Biology of Infectious Disease • HLSC 5312G - Research Topics on Human Pathophysiology • HLSC 5314G - Environmental Determinants of Health • HLSC 5316G - Cancer Biology

- HLSC 5320G - Neuroscience in Rehabilitation Kinesiology
- HLSC 5322G - Theory and Application of Biomedical Signals and Images
- HLSC 5323G - Physical Activity and Chronic Health Conditions
- HLSC 5324G - Critical Issues in Skilled Performance
- HLSC 5390G - Advanced Topics in Kinesiology
- HLSC 5391G - Advanced Topics in Neuromuscular Physiology and Pathophysiology
- HLSC 5392G - Selected Topics in Physical Activity and Health
- HLSC 5393G - Advanced Exercise Prescription

In addition, the Faculty of Education at UOIT has a fully on-line Masters in Education. This program has clusters in Education and Digital Technologies, Leadership and Administration, Curriculum and Adult Education, (listed below). Given that many MScN candidates may have an interest in leading practicing leadership through teaching, either in Nursing programs or as clinical educators, these electives would provide excellent elective options for them to pursue.

- EDUC 5101G - Digital Tools for Constructing Knowledge
- EDUC 5102G - Educational Technology and Communication
- EDUC 5103G - Online Technology in Education
- EDUC 5104G - Analysis and Design of Web-Based Learning Tools
- EDUC 5105G - Technology Diffusion in Education
- EDUC 5199G - Special Topics in Education and Digital Technologies
- EDUC 5205G - Leadership and Technology
- EDUC 5303G - Technology and the Curriculum
- EDUC 5304G - Digital Literacy: Theory, Practice and Research
- EDUC 5405G - Digital Technologies in Adult Education
- EDUC 5201G - Foundations of Leadership
- EDUC 5203G - Dynamics of Change
- EDUC 5205G - Leadership and Technology
- EDUC 5207G - Law & Order (EDU): Legal, Ethics and Policy Issues in a Digital World
- EDUC 5299G - Special Topics in Leadership and Administration
- EDUC 5301G - Foundations of Curriculum for the 21st Century
- EDUC 5302G - Curriculum Planning and Implementation
- EDUC 5303G - Technology and the Curriculum
- EDUC 5304G - Digital Literacy: Theory, Practice and Research
- EDUC 5305G - Authentic Assessment
- EDUC 5401G - Foundations of Adult and Higher Education
- EDUC 5402G - The Adult Learner in a Digital Age
- EDUC 5404G - Teaching in an Adult Learning Environment
- EDUC 5405G - Digital Technologies in Adult Education

3. Resource Requirements

3.1 Faculty Members, Current and New Faculty requirements

Faculty at both UOIT and TFSON have experience teaching in Master's level programs as well as supervisory privileges with their home institution. Tables 3 and 4 identify the UOIT and TFSON faculty members, by rank, unit and supervisory privileges.

Table 3. UOIT Faculty members by rank, home unit, and supervisory privileges.

NAME	RANK	HOME UNIT	SUPERVISORY PRIVILEGES
Jennifer Abbass Dick	Assistant	FHSc	CO
JoAnne Arcand	Assistant	FHSc	FULL
Robert Balogh	Assistant	FHSc	FULL
Caroline Barakat-Haddad	Associate	FHSc	FULL
Emma Bartfay	Associate	FHSc	FULL
Wally Bartfay	Associate	FHSc	FULL
Toba Bryant	Assistant	FHSc	FULL
Pierre Côté	Associate	FHSc	FULL
Shilpa Dogra	Associate	FHSc	FULL
Brenda Gamble	Associate	FHSc	FULL
Holly Jones-Taggart	Associate	FHSc	FULL
Serene Kerpan	Assistant	FHSc	CO
Nick La Delfa	Assistant	FHSc	CO
Manon Lemonde	Associate	FHSc	FULL
Lori Livingston	Professor	FHSc	FULL
Meghann Lloyd	Associate	FHSc	FULL
Janet McCabe	Associate	FHSc	CO
Carolyn McGregor	Professor	FBIT	FULL
Bernadette Murphy	Professor	FHSc	FULL
Mika Nonoyama	Assistant	FHSc	FULL
Efrosini Papaconstantinou	Assistant	FHSc	FULL
David Rudoler	Assistant	FHSc	CO
Otto Sanchez	Professor	FHSc	FULL
Heather Sprenger	Assistant	FHSc	CO
Wendy Stanyon	Associate	FHSc	FULL
Winnie Sun	Assistant	FHSc	CO
Ellen Vogel	Associate	FHSc	FULL
Nick Wattie	Assistant	FHSc	CO
Paul Yelder	Associate	FHSc	FULL
Hilde Zizelsberger	Assistant	FHSc	FULL

Table 4. TFSON Faculty members by rank, home unit, and supervisory privileges.

NAME	RANK	HOME UNIT	SUPERVISORY PRIVILEGES
Simon Adam	LTA	TFSON	CO
Ingrid Brenner	Associate	TFSON	FULL
Ellen Buck-McFadyen	Fleming	TFSON	CO
Beryl Cable-Williams,	Fleming	TFSON	CO
Ann Mary Celestini	Senior Lecturer	TFSON	CO
Kim English	Fleming	TFSON	CO
Cyndi Gilmer	Associate	TFSON	FULL
Jane Mackie	Assistant	TFSON	FULL
Ann MacLeod	Fleming	TFSON	CO
Michele McIntosh	Associate	TFSON	FULL
Melissa Pestill	Senior Lecturer	TFSON	CO
Victoria Reid-de Jong	LTA	TFSON	CO
Jaime Sims	LTA	TFSON	CO
Catherine Thibeault	Associate	TFSON	FULL
Patti Tracey,	Fleming	TFSON	FULL
Jane Tyerman	Fleming	TFSON	FULL
Kirsten Woodend	Associate	TFSON	FULL

Many faculty at each institution have also been engaged in the supervision of graduate students at the Master's, PhD, and PostDoctoral level, adding to the ability of the programs to offer a robust education to students in the MScN program. At all available opportunities, faculty members with strong supervisory records will be available to mentor faculty members with less experience. At both universities, faculty members of other units may also be part of supervisory committees. One supervisor would have to have a nursing background. At Trent, departments and programs whose faculty might be invited to co-supervise or sit on thesis committees include: Education, Business Administration, Gender and Women's Studies, International Development Studies, Psychology, Social Work, and Sustainability Studies, while at UOIT, faculty members from Education, Social Sciences and Humanities, and the Faculty of Business and Information Technology. For the most part only nursing faculty would have the expertise to teach the mandatory courses in this program, however outside experts from practice partners with doctoral qualifications and specialized expertise will also contribute.

The following tables outline the supervisory experiences of faculty at each site, along with each institutions 5 year publication and funding record (2013 – 2017). Co-supervision between institutions will be possible and add to the breadth and depth of possibilities for students, while providing an enriching experience for faculty. Both Trent and UOIT graduate faculty will go through the other institution's adjunct process.

Table 5. UOIT Supervisory record/experience by faculty member.

NAME	COMPLETED			CURRENT		
	MASTER'S	Ph.D.	PDF	MASTER'S	Ph.D.	PDF
Jennifer Abbass Dick				3		
JoAnne Arcand	5			6	3	
Robert Balogh	15			4		
Caroline Barakat-Haddad	3			6		
Emma Bartfay	7			1		
Wally Bartfay	14			3		
Toba Bryant	5			3		
Sue Coffey						
Pierre Côté	2		2	8	2	1
Shilpa Dogra	4			4	1	
Brenda Gamble	9			4		
Holly Jones-Taggart	8				3	
Serene Kerpan	-	-	-	-	-	-
Nick La Delfa				2		
Manon Lemonde	8			7		
Lori Livingston	6	1		2		
Meghann Lloyd	13			4		
Janet McCabe				1	2	
Bernadette Murphy	29	7		2	2	
Mika Nonoyama	2			2		
Efrosini Papaconstantinou	2			3		
David Rudoler	-	-	-	-	-	-
Otto Sanchez	9	2		2		
Heather Sprenger	-	-	-	-	-	-
Wendy Stanyon	14			2		
Winnie Sun				4		
Ellen Vogel	2			2		
Nick Wattie	1			4	1	
Paul Yelder	12	1		2	1	
Hilde Zizelsberger	6			3	1	

Table 6. Trent Supervisory record/experience by faculty member.

NAME	COMPLETED			CURRENT		
	MASTER'S	Ph.D.	PDF	MASTER'S	Ph.D.	PDF
Simon Adam						
Ingrid Brenner						
Ellen Buck-McFadyen						
Beryl Cable-Williams,						
Ann Mary Celestini						
Kim English				1		

Cyndi Gilmer						
Jane Mackie						
Ann MacLeod						
Michele McIntosh						1
Melissa Pestill						
Victoria Reid-de Jong						
Jaime Sims						
Catherine Thibeault						
Patti Tracey,						
Jane Tyerman						
Kirsten Woodend	5	3		2		

Table 7. Publication records at UOIT by year and outlet.

YEAR	FACULTY MEMBERS	ARTICLES	BOOKS	BOOK CHAPTERS	REPORTS	CONFERENCE PRESENTATIONS
2017	24	92	1	14	2	90
2016	25	87	3	24	6	120
2015	21	93	1	25	8	117
2014	23	67	-	7	26	91
2013	20	50	-	12	18	91

Table 8. Publication records at TFSON by year and outlet.

YEAR	FACULTY MEMBERS	ARTICLES	BOOKS	BOOK CHAPTERS	REPORTS	CONFERENCE PRESENTATIONS
2017	12	9		1		5
2016	12	4		1		9
2015	11	4		1		8
2014	11	5		1	1	16
2013	11	2		1	2	8

Table 9. Publication records, regardless of affiliation, by year and outlet.

YEAR	FACULTY MEMBERS	ARTICLES	BOOKS	BOOK CHAPTERS	REPORTS	CONFERENCE PRESENTATIONS
2017	26	97	1	14	2	94
2016	29	100	3	25	7	134
2015	27	105	2	30	9	136
2014	28	77	-	9	26	108
2013	29	63	-	13	22	113

Table 10. Research funding at UOIT by source and year.

YEAR	FACULTY MEMBERS	CANADIAN GRANTING COUNCILS	CANADIAN GOVERNMENT	INTERNATIONAL GOVERNMENT	OTHERS
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2017	27	\$196,788	\$310,430	\$0	\$704,980
2016	28	\$207,203	\$100,000	\$0	\$548,193
2015	28	\$157,230	\$155,000	\$0	\$1,664,072
2014	25	\$47,327	\$145,000	\$0	\$477,006
2013	25 ¹⁹	\$103,950	\$15,000	\$4,990	\$1,499,814

Table 11. Research funding at TFSON by source and year.

YEAR	FACULTY MEMBERS	CANADIAN GRANTING COUNCILS	CANADIAN GOVERNMENT	INTERNATIONAL GOVERNMENT	OTHERS
2017	12				
2016	12	\$4,794	\$416,000		
2015	11				\$74,000
2014	11				
2013	11	\$34,403	\$282,213		

Table 12. Research funding, regardless of affiliation, by source and year.

YEAR	FACULTY MEMBERS	CANADIAN GRANTING COUNCILS	CANADIAN GOVERNMENT	INTERNATIONAL GOVERNMENT	OTHERS
2017	-	-	-	-	-
2016	-	-	-	-	-
2015	1	-	-	-	\$50,000
2014	3	\$457,763	-	-	\$7,673
2013	6	\$1,034,400	-	-	\$69,000

3.2 Additional Academic and Non-academic Human Resources

The Faculty of Health Sciences at UOIT offers some of the required courses (Health Research Approaches and Applied Biostatistics). The courses will be cross-listed, using the corresponding HLSC code, and offered as a distinct online section belonging to the MScN. In some cases, other part-time health science students may request to enrol in these two classes.

The individual courses will be taught by current faculty at UOIT-DC and TFSON, complemented by sessional instructors with relevant expertise in the field. Our practice partners have expressed interest in acting as sessional course instructors for the program. Within the business plan, all courses have been budgeted at sessional rates to acknowledge the fact that faculty member teaching in the MScN will then need to have an undergraduate course covered by a sessional instructor. One course co-ordinator from Trent and one from UOT have been allocated to the Project course (e.g. overseeing 10 students each), this is reflected in terms of course releases in the budgets. The project course coordinators will work with the mentor at the community partner site to ensure that the research project incorporates the principles from the program at Masters level.

¹⁹ This number is an approximation based on cumulative data as an exact number could not be pulled from our records.

One of the Faculty of Health Science's Program Assistants is already dedicated to graduate student issues. This individual works closely with the Associate Dean Research and Graduate Studies within the Faculty of Health Sciences, assisting with everything from the process of reviewing potential applicants to the submission of a graduate student's final thesis document. The success and experience with the faculty's MHSc will be invaluable to graduate students in the proposed programs, as well. The administrative side of the Nursing Masters will be supported by this role.

Student Support Requirements. The UOIT Faculty of Health Sciences currently has a Manager of Academic Advising, two Senior Academic Advisors, one additional Academic Advisor, three Program Assistants, two Practicum coordinators, an Executive Assistant, and a Manager, Planning & Operations. The TFSON has a full-time Academic Coordinator and a faculty member will be granted some course release to support graduate nursing students.

At the TFSON, there are 1.4 FTE dedicated academic advisors for the programs, and part of a program administrator's role and recruiter role will be expanded as programming continues to grow within the school in relation to the MScN and the Graduate Diploma in Mental Health.

3.3 Physical Resource Requirements

Current computer resources. UOIT operates a "bring your own device (BYOD)" program. At both UOIT and Trent, should students wish to work on campus, desktop computers are available for use by graduate students in laboratories, libraries, and the learning commons. Classrooms and learning spaces at the both campuses are fully networked and feature full multimedia support. The latest wireless technology is available in all main public areas of the campus. At UOIT, offices and research spaces are also wired for access to UOIT's network. There is wireless access for students in the TFSON graduate student's office.

Existing library resources at UOIT. The goal of the UOIT Libraries is to enrich the research, teaching, study, and conversation of the University by providing exceptional library and information services and facilities to support all academic programs. The UOIT Library system consists of four locations – North Oshawa, Social Science and Humanities, Education, and Whitby-Durham College. Each site provides individual and group study spaces, print and media collections targeted to the local audience, in-person reference and discipline specific classes, reserves, intercampus and interlibrary loans, and photocopiers and printers.

As of October 2012, over 110,000 books are provided collectively by the UOIT Library system. Patrons can visit locations in person or they can take advantage of intercampus borrowing services. Through the library's website www.uoit.ca/library, both on and off campus via student, faculty or staff number and secure password, members of the UOIT community have access to 696,500 e-books and 46,000 full text electronic journals. In addition, librarians are available in person, through e-mail and through virtual reference to assist patrons navigate through the information environment.

An interlibrary loan service is also provided, so that UOIT students can acquire materials from other libraries and organizations free of charge. Similarly, there is a reciprocal borrowing

agreement with other Canadian university libraries that allows UOIT students, staff and faculty to borrow resources in person from these institutions. Materials can be returned to the UOIT library for forwarding to the lending library.

The UOIT Libraries have had excellent support from administration over the institution's fifteen year history. Current resources are more than adequate to support the launch of the MScN. The Library looks forward to serving a new cohort of faculty and students.

Existing library resources at Trent University. The proposed Nursing Masters of Science program will be mostly supported by existing resources in the undergraduate Nursing program as well as the undergraduate degree programs in Biology, Psychology and Sociology. The library subscribes to most important journals in the subject area of nursing. Google Scholar and SCImago are open sources providing metrics regarding the impact of scholarly journals. Comparing the library's journal collection to their ranked lists of journals can be a useful way to assess a collection. The library subscribes to most top journals in these lists. The library also subscribes to most nursing, health and medical journals published in Canada.

Trent currently subscribes to databases that index the journals important to nursing including the Academic Search Elite, ACP Journal Club, Canadian Periodical Index, CINAHL, Cochrane Database of Systematic Reviews, Database of Abstracts and Reviews, Healthstar, Medline, PsycINFO, Sociological Abstracts and Web of Science. Additional indexes are not required at this time.

The Trent University Library offers a variety of instructional supports in all subjects. This includes a Library Skills Program which is an online course customized to suit the needs of any course, on request. Librarian instructional sessions are also available for courses, they involve a librarian visiting a lecture, or seminar groups can be brought to a Library instruction room on request for a hands-on workshop related to a course or specific assignment. The Library also can arrange: special workshops can be arranged for students outside of class time and individual help is available in person, by phone, or online – which will support an online cohort. As well as the range of Library Skills Tutorials and Subject Guides are available online, and specialized guides for a particular program/course or sub-topic can be designed on request. The TFSO is assigned a Learning & Liaison Librarian to work with their faculty and students which will be an asset in supporting the information literacy of graduate students.

In relation to journals and indexes available at the Trent University library, subscriptions are purchased through a central Library budget, and are selected by Librarians, with input from Faculty and students. Relevant indexes include: Academic Search Elite, ACP Journal Club, Canadian Periodical Index, CINAHL, Cochrane Database of Systematic Reviews, Database of Abstracts and Reviews, Healthstar, Medline, PsycINFO, Sociological Abstracts and Web of Science. Preference is for e-journals, but a small percentage of our subscriptions remain in print, either because they're not easily available online or the cost is preventative. Trent University currently subscribes to approximately 30,000 current e-journal titles, and when a license permits, e-journals are loaded on the Scholars Portal Journals platform, a Trusted Digital Repository to provide perpetual access and a single search engine. Trent University utilizes SFX link resolver to locate specific articles available in e-journals. Table 13 provides an approximate breakdown of the areas of study

represented by our e-journal subscriptions (a complete listing can be viewed on the SFX Category Display).

Table 13. E-Journal titles by category

Category	# of Titles
Health Sciences	8132
Medical Informatics	84
Nursing	396
Social Sciences	7083
Public Policy & Administration	925
Business, Economy & Management	7043
Organizational Psychology	58
Organizational change & development	116
Personnel Management & Training	158

4. Business Plan

4.1 Administration of the program

The program will be administered collaboratively, with a steering committee created to facilitate the administration and ongoing delivery of the program (e.g. long-range planning, procedural guidelines, budget and financial issues). The graduate director at Trent/Flemming and the Associate Dean Research and Graduate Studies at UOIT in consultation with the Nursing Director will oversee ongoing functioning of the program. Each University will grant the MScN for students registered at that university. However, given this is a joint degree through a collaborative relationship, the Master's parchment will include the crests of both institutions. Admission standards will be established collaboratively and, at least initially, admission decisions will be made collaboratively to ensure that equal numbers of qualified students are enrolled at UOIT and Trent. Each institution will offer half of the required courses in the program each year. Tuition will be paid at the institution at which each student is registered. The head of each School and financial officers will meet twice a year to monitor and resolve any budget issues. Financial principles will be established and revised on an ongoing basis as needed (similar to our present relationships for the collaborative BScN with Fleming).

All courses, except the initial 1-week orientation and some of the electives, will be online. Students will have the option to select electives at either site and some of the listed electives are classroom based. Any revisions to the courses or to the program requirements will be approved by graduate studies at both sites. At UOIT a nursing representative will be appointed to serve on the Graduate Studies Committee of the FHS.

4.2 Statement of Funding Requirement

Table 14. Projected graduate intake and enrolment for MScN. program by year.

TERM	ENROLMENT (for each institution)				
	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Semester 1 (Spring 2019)	10	10	10	10	10
Semester 2 (Fall 2019)		10	10	10	10
Semester 3 (Winter 2020)		10	10	10	10
Semester 4 (Spring 2020)		8	8	8	8
Semester 5 (Fall 2020)			8	8	8
Semester 6 (Winter 2021)			8	8	8

Table 15. Required number of course sections by year and term*.

YEAR	COURSE SECTIONS			
	FALL	WINTER	SPRING	TOTAL
2018-19			1	1
2019-20	2	2	2	6
2020-21	5	3	2	10

*Based on a Full-time Thesis stream student

Table 16. UOIT - Draft Budget – With Grant Funding

	5 year budget model (based on program years 01May-30Apr model)						Scenario B
	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	
Total HeadCount per Program Year - Full-Time - Year 1	-	2.00	2.00	2.00	2.00	2.00	2.00
Total HeadCount per Program Year - Full-Time - Year 2	-	-	2.00	2.00	2.00	2.00	2.00
Total HeadCount per Program Year - Full-Time	-	2.00	4.00	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 1	-	8.00	8.00	8.00	8.00	8.00	8.00
Total HeadCount per Program Year - Part-Time - Year 2	-	-	8.00	8.00	8.00	8.00	8.00
Total HeadCount per Program Year - Part-Time - Year 3	-	-	-	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 4	-	-	-	-	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 5	-	-	-	-	-	-	-
Total HeadCount per Program Year - Full-Time	-	8.00	16.00	20.00	24.00	24.00	24.00
Total HeadCount per Program Year - Full-Time	-	2.00	4.00	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time	-	8.00	16.00	20.00	24.00	24.00	24.00
Total HeadCount per Program Year	-	10.00	20.00	24.00	28.00	28.00	28.00
Tuition Fees - Flat-Fee Program							
Full-Time Domestic Tuition Fee - Per Term	\$ 3,100.00	\$ 3,100.00	\$ 3,100.00	\$ 3,100.00	\$ 3,100.00	\$ 3,100.00	\$ 3,100.00
Part-Time Domestic Tuition Fee - Per Term	\$ 1,550.00	\$ 1,550.00	\$ 1,550.00	\$ 1,550.00	\$ 1,550.00	\$ 1,550.00	\$ 1,550.00
Operating Grant (FT = 1.0 BIU, PT = 0.3 BIU):							
Full-Time Operating Grant - Per Term	\$ 5,806.00	\$ 5,806.00	\$ 5,806.00	\$ 5,806.00	\$ 5,806.00	\$ 5,806.00	\$ 5,806.00
Part-Time Operating Grant - Per Term	\$ 1,741.80	\$ 1,741.80	\$ 1,741.80	\$ 1,741.80	\$ 1,741.80	\$ 1,741.80	\$ 1,741.80
Domestic Tuition - Full-Time	18,600	37,200	37,200	37,200	37,200	37,200	37,200
Domestic Tuition - Part-Time	37,200	74,400	93,000	111,600	111,600	111,600	111,600
Operating Grant - Full-Time	34,836	69,672	69,672	69,672	69,672	69,672	69,672
Operating Grant - Part-Time	41,803	83,606	104,508	125,410	125,410	125,410	125,410
Total Revenue	\$ 132,439	\$ 264,878	\$ 304,380	\$ 343,882	\$ 343,882	\$ 343,882	\$ 343,882
Expenses:							
# of courses offered/instructors required	5.0	8.0	8.0	8.0	8.0	8.0	8.0
Plus: NURS 5123G - Qualitative Research Methods	1.0	1.0	1.0	1.0	1.0	1.0	1.0
Less: Trent-Fleming portion	(3.0)	(4.5)	(4.5)	(4.5)	(4.5)	(4.5)	(4.5)
Remaining UOIT portion	3.0	4.5	4.5	4.5	4.5	4.5	4.5
Plus: NURS 5096G Professional Practice Project - Course Supervisor				2.0	2.0	2.0	2.0
Sessional rates - \$8,400 (premium) + 9% benefits	\$ 27,468	\$ 41,202	\$ 41,202	\$ 59,514	\$ 59,514	\$ 59,514	\$ 22,890
Tenure Track Prof. @ 1.0 FTE + 18.5% benefits							148,125
Administrative course release - \$7,200 + 9% benefits	7,848	7,848	7,848	7,848	7,848	7,848	7,848
TA/RAships for FT - \$34 x 140 hours x 2 terms + 9% benefits	20,754	41,507	41,507	41,507	41,507	41,507	41,507
Dean's Office + Support Staff			22,729	22,729	22,729	22,729	22,729
Planning & Operations Office							-
Total Labour	\$ -	\$ 56,070	\$ 90,557	\$ 113,286	\$ 131,598	\$ 131,598	\$ 243,099
Start-Up Costs (e.g. program development, other)							
Travel	500	500	500	500	500	500	500
Promotion & Advertising	5,000	5,000	5,000	5,000	2,500	2,500	2,500
Honorarium (\$500 per student); re: Mentorship with Professional Practice Lead	-	-	-	3,000	3,000	3,000	3,000
Other Expenditures	5,000	5,000	5,000	5,000	5,000	5,000	5,000
Total Operating Expenditures	\$ 10,500	\$ 10,500	\$ 10,500	\$ 10,500	\$ 11,000	\$ 11,000	\$ 11,000
Total Expenses	\$ 10,500	\$ 66,570	\$ 101,057	\$ 123,786	\$ 142,598	\$ 142,598	\$ 254,099
Expenses as % of Revenue		50.3%	38.2%	40.7%	41.5%	41.5%	73.9%
Net Revenue	\$ (10,500)	\$ 65,870	\$ 163,821	\$ 180,594	\$ 201,284	\$ 201,284	\$ 89,783
Net Contribution %		49.7%	61.8%	59.3%	58.5%	58.5%	26.1%

Table 17. UOIT - Draft Budget – Without Grant Funding

	5 year budget model (based on program years 01May-30Apr model)						Scenario B
	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	
Total HeadCount per Program Year - Full-Time - Year 1	-	2.00	2.00	2.00	2.00	2.00	2.00
Total HeadCount per Program Year - Full-Time - Year 2		-	2.00	2.00	2.00	2.00	2.00
Total HeadCount per Program Year - Full-Time	-	2.00	4.00	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 1	-	8.00	8.00	8.00	8.00	8.00	8.00
Total HeadCount per Program Year - Part-Time - Year 2		-	8.00	8.00	8.00	8.00	8.00
Total HeadCount per Program Year - Part-Time - Year 3		-	-	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 4		-	-	-	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time - Year 5							
Total HeadCount per Program Year - Full-Time	-	8.00	16.00	20.00	24.00	24.00	24.00
Total HeadCount per Program Year - Full-Time	-	2.00	4.00	4.00	4.00	4.00	4.00
Total HeadCount per Program Year - Part-Time		8.00	16.00	20.00	24.00	24.00	24.00
Total HeadCount per Program Year	-	10.00	20.00	24.00	28.00	28.00	28.00
Tuition Fees - Fee-Per-Credit Program							
Full-Time Domestic Tuition Fee - Per 3-Credit Course		\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29
Part-Time Domestic Tuition Fee - Per Term		\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29	\$ 1,717.29
Operating Grant (FT = 1.0 BIU, PT = 0.3 BIU):							
Full-Time Operating Grant - Per Term							
Part-Time Operating Grant - Per Term							
Domestic Tuition - Full-Time		17,173	34,346	34,346	34,346	34,346	34,346
Domestic Tuition - Part-Time		41,215	82,430	103,037	123,645	123,645	123,645
Operating Grant - Full-Time		-	-	-	-	-	-
Operating Grant - Part-Time		-	-	-	-	-	-
Total Revenue		\$ 58,388	\$ 116,776	\$ 137,383	\$ 157,991	\$ 157,991	\$ 157,991
Expenses:							
# of courses offered/instructors required		5.0	8.0	8.0	8.0	8.0	8.0
Plus: NURS 5123G- Qualitative Research Methods		1.0	1.0	1.0	1.0	1.0	1.0
Less: Trent-Fleming portion		(3.0)	(4.5)	(4.5)	(4.5)	(4.5)	(4.5)
Remaining UOIT portion		3.0	4.5	4.5	4.5	4.5	4.5
Plus: NURS 5096G Professional Practice Project - Course Supervisor					2.0	2.0	2.0
Sessional rates - \$8,400 (premium) + 9% benefits		\$ 27,468	\$ 41,202	\$ 41,202	\$ 59,514	\$ 59,514	\$ 22,890
Tenure Track Prof. @ 1.0 FTE + 18.5% benefits							148,125
Administrative course release - \$7,200 + 9% benefits		7,848	7,848	7,848	7,848	7,848	7,848
TA/RAships for FT - \$34 x 140 hours x 2 terms + 9% benefits							
Dean's Office + Support Staff				22,729	22,729	22,729	22,729
Planning & Operations Office							-
Total Labour	\$ -	\$ 35,316	\$ 49,050	\$ 71,779	\$ 90,091	\$ 90,091	\$ 201,592
Start-Up Costs (e.g. program development, other)							
Travel	500	500	500	500	500	500	500
Promotion & Advertising	5,000	5,000	5,000	5,000	2,500	2,500	2,500
Honorarium (\$500 per student); re: Mentorship with Professional Practice Lead	-	-	-	-	3,000	3,000	3,000
Other Expenditures	5,000	5,000	5,000	5,000	5,000	5,000	5,000
Total Operating Expenditures	\$ 10,500	\$ 10,500	\$ 10,500	\$ 10,500	\$ 11,000	\$ 11,000	\$ 11,000
Total Expenses	\$ 10,500	\$ 45,816	\$ 59,550	\$ 82,279	\$ 101,091	\$ 101,091	\$ 212,592
Expenses as % of Revenue		78.5%	51.0%	59.9%	64.0%	64.0%	134.6%
Net Revenue	\$ (10,500)	\$ 12,572	\$ 57,226	\$ 55,105	\$ 56,900	\$ 56,900	\$ (54,601)
Net Contribution %		21.5%	49.0%	40.1%	36.0%	36.0%	-34.6%

Table 18. Trent - Draft Budget – With Grant Funding

	2019-2020	2020-21	2021-2022	2022-2023	2023-2024
<u>Enrolment</u>					
Domestic - head counts -new FT	2	2	2	2	2
Domestic - head counts - FT Yr. 2		2	2	2	2
TOTAL FT Students (By head)	2	4	4	4	4
Domestic head counts - PT Yr. 1	8	8	8	8	8
Domestic head counts - PT Yr. 2		6	6	6	6
Domestic head counts - PT Yr. 3			6	6	6
Domestic head counts - PT Yr. 4				6	6
Domestic head counts - PT Yr. 5					
TOTAL PT DOMESTIC STUDENTS (by head)	8	22	28	34	34
International head counts - new		2	2	2	2
International - head counts- continuing Yr. 2			2	2	2
Total - Head Count	10	28	36	42	42
<u>Revenues - Tuition only</u>					
Orientation (Semester 1)	2000	2000	2000	2000	2000
tuition domestic per semester FT	3,000	3,090	3,183	3,278	3,377
tuition domestic per semester PT	1,500	1,545	1,591	1,639	1,688
Annual tuition international (Diff. Fee + semester fee)	18,639	18,639	18,639	18,639	18,639
Domestic First Year	56,000	57,080	58,192	59,338	60,518
Domestic Upper Years	0	46,350	76,385	108,180	111,425
International	0	37,277	74,555	74,555	74,555
Total	56,000	140,707	209,132	242,073	246,498
<u>Revenues - Ministry funding</u>					
eligible BIU (PT = 0.3 & FT = 1.3333 BIUs)	5.0666	11.9332	13.7332	15.5332	15.5332
funding per BIU	21,442	50,501	58,119	65,737	65,737
Total	108,637	602,642	798,159	1,021,098	1,021,098
<u>Revenues - Ancilliary Fees</u>					
Total					
TOTAL Revenue	164,637	743,350	1,007,290	1,263,171	1,267,597
<u>Expenses - Salaries and Benefits</u>					
# of courses offered/instructors required	2	5.0	5.0	5.0	5.0
Total CUPE based on half course stipend	17,478	44,350	45,015	45,690	46,376
Tenture Track Prof.					
Admin. Release for Grad Coordinator/Director	8,739	17,740	18,006	18,276	18,551
Finance Officer (5%)	3,475	3,527	3,580	3,634	3,688
Front Office Support	15,453	15,685	15,920	16,159	16,401
Total Salary & Benefits Expenses	45,145	81,302	82,522	83,759	85,016
<u>Expenses - Operational</u>					
Operating budget	2,000	5,600	7,200	8,400	8,400
Start-up Costs (w eb development, admin etc.)	17,478	8,870			
Promotion	5,000	4,000	3,000	2,000	2,000
Total Operating Expenses	24,478	18,470	10,200	10,400	10,400
TOTAL Expenses	69,623	99,772	92,722	94,159	95,416
Net Revenue (total revenue - total expenditure)	95,014	643,577	914,569	1,169,012	1,172,181
Instructional & Operational Expenditures as % of total Revenue	42%	13%	9%	7%	8%
Overhead to Institution (51%)	\$ 83,965	\$ 379,108	\$ 513,718	\$ 644,217	\$ 646,474
Overhead % to institution	51%	51%	51%	51%	51%
Excess Revenue after expenses and overhead	\$ 11,049	\$ 264,469	\$ 400,851	\$ 524,794	\$ 525,706

Table 19. Trent - Draft Budget – Without Grant Funding

	2019-2020	2020-21	2021-2022	2022-2023	2023-2024
<u>Enrolment</u>					
Domestic - head counts -new FT	2	2	2	2	2
Domestic - head counts - FT Yr. 2		2	2	2	2
TOTAL FT Students (By head)	2	4	4	4	4
Domestic head counts - PT Yr. 1	8	8	8	8	8
Domestic head counts - PT Yr. 2		6	6	6	6
Domestic head counts - PT Yr. 3			6	6	6
Domestic head counts - PT Yr. 4				6	6
Domestic head counts - PT Yr. 5					
TOTAL PT DOMESTIC STUDENTS (by head)	8	22	28	34	34
International head counts - new		2	2	2	2
International - head counts- continuing Yr. 2			2	2	2
Total - Head Count	10	28	36	42	42
<u>Revenues - Tuition only</u>					
Orientation (Semester 1)	2000	2000	2000	2000	2000
tuition domestic per semester FT	3,255	3,353	3,453	3,557	3,664
tuition domestic per semester PT	1,628	1,676	1,727	1,778	1,832
Annual tuition international (Diff. Fee + semester fee)	18,639	18,639	18,639	18,639	18,639
Domestic First Year	59,060	60,232	61,439	62,682	63,962
Domestic Upper Years	0	50,290	82,878	117,375	120,897
International	0	37,277	74,555	74,555	74,555
Total	59,060	147,799	218,871	254,612	259,414
<u>Revenues - Ministry funding</u>					
eligible BIU	0	0	0	0	0
funding per BIU	0	0	0	0	0
Total	0	0	0	0	0
<u>Revenues - Ancillary Fees</u>					
Total					
TOTAL Revenue	59,060	147,799	218,871	254,612	259,414
<u>Expenses - Salaries and Benefits</u>					
# of courses offered/instructors required	2	5	5	5	5
Total CUPE based on half course stipend	17,112	43,420	44,075	44,730	45,405
Tenture Track Prof.					
Admin. Release for Grad Coordinator/Director	8,556	8,684	8,815	8,946	9,081
Finance Officer (5%)	3,475	3,527	3,580	3,634	3,688
Front Office Support	15,453	15,685	15,920	16,159	16,401
Total Salary & Benefits Expenses	44,596	71,316	72,390	73,469	74,575
<u>Expenses - Operational</u>					
Operating budget	2,000	5,600	7,200	8,400	8,400
Start-up Costs (web development, admin etc.)	16,504	8,252			
Promotion	5,000	4,000	3,000	2,000	2,000
Total Operating Expenses	23,504	17,852	10,200	10,400	10,400
TOTAL Expenses	68,100	89,168	82,590	83,869	84,975
Net Revenue (total revenue - total expenditure)	-9,040	58,631	136,281	170,743	174,438
Instructional & Operational Expenditures as % of total Revenue	115%	60%	38%	33%	33%
Overhead to Institution (51%)	\$ 30,121	\$ 75,377	\$ 111,624	\$ 129,852	\$ 132,301
Overhead % to institution	51%	51%	51%	51%	51%
Excess Revenue after expenses and overhead	\$ (39,161)	\$ (16,746)	\$ 24,657	\$ 40,891	\$ 42,137



ACADEMIC COUNCIL

ANNUAL REPORT TO BOARD OF GOVERNORS 2017-2018

As the Chair of Academic Council, I am pleased to report on the great work done by Council this year and provide a summary of Academic Council's accomplishments.

Recommendations to Board of Governors

Academic Council recommended the following for approval by the Board of Governors:

- a) establishment of the Centre on Hate, Bias and Extremism;
- b) establishment of the Bachelor of Technology in Sustainable Energy Systems;
- c) establishment of a Doctor of Philosophy in Health Sciences;
- d) establishment of a Governance & Nominations Committee of Academic Council; and
- e) the updated Policy Framework.

Curriculum & Program Changes

Academic Council approved the following major program modifications:

- a) Faculty of Energy Systems & Nuclear Science – Minor Program in Health Physics
- b) Master of Health Sciences – Field Name Change
- c) Faculty of Science – Bachelor of Science in Physics Energy and Environment Specialization
- d) Bachelor of Science – Applied and Industrial Mathematics Pathway
- e) Bachelor of Science – Biological Science – Environmental Biology Specialization
- f) Bachelor of Science – Computer Science
- g) Master of IT Security – Addition of new field in Artificial Intelligence in Security
- h) Faculty of Social Science and Humanities - Minor in Sustainability Studies

Conferral of Degrees & Student Medal Winners

Academic Council approved the granting of degrees to those students who fulfilled all degree requirements at the end of the Summer and Fall Terms 2017 and Winter Term 2018 who were recommended for graduation by their Faculty. There were 2113 degrees awarded at the 2018 Convocation.

The following are the student medal winners for 2018:

Medal Winners		
	Name on Degree	Major
Gold Medal	Abdullah AlZahrani	Mechanical Engineering
Silver Medal	Samantha Nicole Stahlke	Game Dev & Entrepreneurship
Faculty Medals		
FESNS	Kimberley Natasha Fernandes	Health Physics & Radiation Sci
FHSc	Chloe Marie Landry	Medical Laboratory Science
FSSH	Rebecca Ann Fisico	Forensic Psychology
FED	Elizabeth Finlan	Education-Primary/Junior
FEAS	Heather Ann Wyatt	Mechanical Engineering
FBIT	Samantha Nicole Stahlke	Game Dev & Entrepreneurship
FSCI	Siddiq Moolla	Biological Science

Scholarships

The Admissions and Scholarships Committee finalized the selection of recipients for the major scholarship awards for 2018-19, and the following is the status of their application and scholarship:

- a) Chancellor's Scholarship: **Tessie Pulla-Chin - Oshawa, ON (Monsignor Paul Dwyer)**
Offer of admission to Nursing (Collaborative)
Scholarship offer *accepted*

- b) President's Scholarship: **Erin Mattes - Whitby, ON (Sinclair Secondary)**
Offer of admission to Forensic Psychology
Scholarship offer *accepted*

Cristianna Giallo - Etobicoke, ON (Bishop Allen Academy)
Offer of admission to Biological Science
Scholarship offer *accepted*

- c) Founder's Scholarship: **Hannah Oegema - Courtice, ON (Holy Trinity Catholic)**
Offer of admission to Marketing
Scholarship offer *accepted*

Courtney Lockhart – Midland, ON (Georgian Bay District)
Offer of admission to Kinesiology
Scholarship offer *accepted*

- d) FIRST Robotics Scholarship: **Keegan Post – Oshawa, ON (Eastdale Collegiate)**
Offer of admission to Nuclear Engineering
Scholarship offer *accepted*

e) Global Leadership Scholarship

Aiman Quraishi – Doha, Qatar (Ideal Indian School)

Offer of admission to Electrical Engineering

Scholarship offer *accepted*

The Chancellor's, President's, and Founder's Scholarships are given to applicants who demonstrate outstanding academic achievement (minimum 85 percent average) and exceptional leadership and community involvement. The Global Leadership Scholarship is one of UOIT's most prestigious entrance awards and recognizes international secondary school applicants with strong academic and leadership abilities.

Honorary Degree Recipients

The Honorary Degrees Committee awarded honorary doctorates to the following recipients:

- The Honourable Frank Iacobucci
- Craig Kielburger & Marc Kielburger
- Dr. Maria Klawe
- Ken Knox

Committee to Recommend a President (CRP)

In November 2016, Academic Council elected 3 faculty representatives (Mike Eklund, Glenn Harvel, and Hannah Scott) to serve on the CRP. The CRP completed the presidential search and recommended the appointment of Dr. Steven Murphy as the university's fourth President and Vice-Chancellor in October 2017.

Board By-Law Review Project Working Group

The elected Academic Council members of the Board By-law Review Project Working Group, Mikael Eklund and Hannah Scott, completed their work on the By-law Review Project. The updated by-laws were approved by the Board in October 2017 and come into effect in September 2018.

Academic Council Elections 2018-2019

Academic Council held elections in March 2018 to fill the vacant positions for 2018-2019. The election was held in accordance with the Academic Council Procedures for the Election of Teaching, Non-Academic Staff and Student Representatives instituted in 2015 by Council. The elections ran smoothly and no complaints were received regarding the conduct of the elections.

Governance Education

Academic Council held one orientation session on September 19, 2017. Governance information sessions were conducted for all student candidates prior to the election.

DRAFT Consolidated Financial Statements of

**UNIVERSITY OF ONTARIO
INSTITUTE OF TECHNOLOGY**

For the year ended March 31, 2018

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Financial Statements
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For the year ended March 31, 2018

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UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Financial Position
As at March 31, 2018

	<u>Mar 31, 2018</u>	<u>Mar 31, 2017</u>	<u>Variance</u>
ASSETS			
CURRENT			
Cash and cash equivalents (Note 2)	\$ 35,569,460	\$ 56,795,539	\$ (21,226,079)
Short-term investments (Note 3)	16,625,200	-	16,625,200
Grant receivable	7,547,294	6,152,287	1,395,007
Other accounts receivable (allowance for doubtful accounts - \$364,977; 2017 - \$290,377)	8,157,805	7,624,344	533,461
Prepaid expenses and deposits	1,619,047	1,689,870	(70,823)
Inventories	241,633	172,514	69,119
	<u>69,760,439</u>	<u>72,434,554</u>	<u>(2,674,115)</u>
INVESTMENTS (Note 4)	25,681,555	29,632,811	(3,951,256)
CAPITAL ASSETS (Note 5)	399,587,698	399,939,626	(351,928)
TOTAL ASSETS	\$ 495,029,692	\$ 502,006,991	\$ (6,977,299)
LIABILITIES			
CURRENT AND LONG-TERM LIABILITIES			
Accounts payable and accrued liabilities (Notes 6 and 13)	\$ 25,821,233	\$ 34,633,948	\$ (8,812,715)
Deferred revenue (Note 7)	19,579,647	20,878,720	(1,299,073)
Current portion of other long-term debt (Note 8)	132,672	5,707,308	(5,574,636)
Current portion of obligations under capital leases (Note 9)	571,000	505,413	65,587
Current portion of long-term debenture debt (Note 10)	5,790,925	5,439,949	350,976
	<u>51,895,477</u>	<u>67,165,338</u>	<u>(15,269,861)</u>
OTHER LONG-TERM DEBT (Note 8)	550,064	682,735	(132,671)
LONG-TERM OBLIGATIONS UNDER CAPITAL LEASES (Note 9)	37,596,349	38,167,349	(571,000)
LONG-TERM DEBENTURE DEBT (Note 10)	164,270,307	170,061,232	(5,790,925)
DEFERRED CAPITAL CONTRIBUTIONS (Note 11)	162,548,903	164,581,824	(2,032,921)
	<u>416,861,100</u>	<u>440,658,478</u>	<u>(23,797,378)</u>
NET ASSETS			
UNRESTRICTED	(1,296,442)	(10,744,227)	9,447,785
INVESTED IN CAPITAL ASSETS (Note 14)	28,613,331	20,902,313	7,711,018
INTERNALLY RESTRICTED (Note 15)	29,811,275	31,573,707	(1,762,432)
ENDOWMENTS (Note 16)	21,040,428	19,616,720	1,423,708
	<u>78,168,592</u>	<u>61,348,513</u>	<u>16,820,079</u>
Contingencies and Contractual Commitments (Note 18)			
TOTAL LIABILITIES AND NET ASSETS	\$ 495,029,692	\$ 502,006,991	\$ (6,977,299)

See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Operations
For the year ended March 31, 2018

	<u>2018</u>	<u>2017</u>	<u>Variance</u>
REVENUE			
Grants - operating and research (Note 12)	\$ 72,253,326	\$ 69,790,551	\$ 2,462,775
Grants - debenture	13,500,000	13,500,000	-
Donations	1,933,629	1,089,859	843,770
Student tuition fees	78,265,879	74,817,528	3,448,351
Student ancillary fees	13,466,274	13,773,580	(307,306)
Revenues from purchased services (Note 13)	3,600,331	3,993,307	(392,976)
Other income	18,640,579	13,654,306	4,986,273
Amortization of deferred capital contributions	9,035,624	8,796,000	239,624
Interest revenue	1,165,813	865,352	300,461
Realized/unrealized gain on investments	286,873	1,702,360	(1,415,487)
Gain on disposal of assets	179,371	434,126	(254,755)
	<u>212,327,699</u>	<u>202,416,969</u>	<u>9,910,730</u>
EXPENSES			
Salaries and benefits	100,764,246	96,518,715	4,245,531
Supplies and expenses	39,851,848	36,580,910	3,270,938
Purchased services (Note 13)	14,914,760	16,084,422	(1,169,662)
Interest expense - debt obligations	14,179,648	14,715,745	(536,097)
Interest expense - other	137,630	107,202	30,428
Amortization of capital assets	23,729,724	24,859,401	(1,129,677)
Professional fees	3,353,472	946,927	2,406,545
	<u>196,931,328</u>	<u>189,813,322</u>	<u>7,118,006</u>
Excess of revenue over expenses	\$ 15,396,371	\$ 12,603,647	\$ 2,792,724

See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Changes in Net Assets
As at March 31, 2018

	<u>Unrestricted</u>	<u>Invested in Capital Assets</u> (Note 14)	<u>Internally Restricted</u> (Note 15)	<u>Endowments</u> (Note 16)	<u>Total 2018</u>	<u>Total 2017</u>
Balance - Beginning of Year	\$ (10,744,227)	\$ 20,902,313	\$ 31,573,707	\$ 19,616,720	\$ 61,348,513	\$ 47,299,806
Excess / (deficiency) Revenue over Expenses	30,090,471	(14,694,100)	-	-	15,396,371	12,603,647
Interfund Transfer	1,762,432	-	(1,762,432)	-	-	-
Investment in Capital Assets	(22,405,118)	22,405,118	-	-	-	-
Endowment Contributions	-	-	-	1,423,708	1,423,708	1,445,060
Net changes during the year	9,447,785	7,711,018	(1,762,432)	1,423,708	16,820,079	14,048,707
Balance - End of Year	\$ (1,296,442)	\$ 28,613,331	\$ 29,811,275	\$ 21,040,428	\$ 78,168,592	\$ 61,348,513

See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Cash Flows
As at March 31, 2018

	<u>Mar 2018</u>	<u>Mar 2017</u>
NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES		
OPERATING		
Excess of revenue over expenses	\$ 15,396,371	\$ 12,603,647
Items not affecting cash:		
Amortization of capital assets	23,729,724	24,859,401
Amortization of deferred capital contributions	(9,035,624)	(8,796,000)
Gain on disposal of assets	(179,371)	(434,126)
Realized/unrealized gain on investments	(286,873)	(1,702,360)
	29,624,227	26,530,562
Working capital:		
Grant and other accounts receivable	(1,928,468)	(882,614)
Prepaid expenses and deposits	70,823	11,808
Inventories	(69,119)	(18,252)
Accounts payable and accrued liabilities	(8,812,716)	10,439,408
Deferred revenue	(1,299,072)	520,441
	17,585,675	36,601,353
INVESTING		
Purchase of capital assets	(25,138,745)	(28,175,619)
Proceeds on disposal of capital assets	1,940,320	1,321,943
Investments	(12,387,071)	13,207,134
	(35,585,496)	(13,646,542)
FINANCING		
Repayment of long-term debt	(11,147,256)	(10,587,902)
Endowment contributions	1,423,708	1,445,060
Repayment of obligations under capital leases	(505,413)	(417,564)
Deferred capital contributions	7,002,703	11,092,140
	(3,226,258)	1,531,734
NET CASH (OUTFLOW)/INFLOW	(21,226,079)	24,486,545
CASH & CASH EQUIVALENTS BALANCE, BEGINNING OF YEAR	56,795,539	32,308,994
CASH & CASH EQUIVALENTS BALANCE, END OF YEAR	\$ 35,569,460	\$ 56,795,539

SUPPLEMENTARY CASH FLOW INFORMATION

Interest paid	\$ 14,424,308	\$ 14,930,533
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See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

University of Ontario Institute of Technology (the “University”) was incorporated without share capital under the University of Ontario Institute of Technology Act which received Royal assent on June 27, 2002. The objectives of the University, as well as the powers of the Board of Governors and the Academic Council, are defined in the Act.

The University is a market-oriented University integrating inquiry, discovery and application through excellence in teaching, learning and value-added research. The University is a degree granting and research organization offering graduate and undergraduate education. The University is a registered charity under Section 149 of the Income Tax Act and is, therefore, exempt from income taxes.

1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES

(a) Basis of presentation

The University follows Canadian Accounting Standards for Not-for-Profit Organizations (“ASNPO”) in Part III of the Chartered Professional Accountants of Canada (“CPA”) Handbook. These consolidated financial statements reflect the assets, liabilities, net assets, revenue and expenses of all the operations controlled by the University.

On November 1, 2009, the Campus Childcare Centre Inc. (“CCC”) was incorporated as a separate legal entity with a fiscal year ended April 30. Its purpose is to provide daycare facilities to the children of faculty, staff and students of the University and Durham College, as its first priority, and community families. CCC is controlled by the University and its financial results to March 31, 2018 are included in the Consolidated Financial Statements of the University.

On February 1, 2012, the Automotive Center of Excellence (“ACE”) commenced its operations as a test facility for General Motors of Canada and other commercial customers who are seeking to create, test and validate paradigm-shifting innovations with a focus on bringing them to market as rapidly as possible. ACE is a wholly owned department of the University and its financial results to March 31, 2018 are included in the Consolidated Financial Statements of the University.

These consolidated financial statements do not reflect the assets, liabilities, and results of operations of the various student organizations as they are not controlled by the University.

(b) Revenue recognition

The University follows the deferral method of accounting for contributions, which includes donations and government grants.

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

Student fees are recognized as revenue when courses are provided.

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

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)

Unrestricted contributions are recognized as revenue when received or receivable if the amount to be received can be reasonably estimated and collection is reasonably assured.

Externally restricted contributions for purposes other than endowment are deferred and recognized as revenue in the year in which the related expenses are incurred. Pledged donations are not recorded until received due to the uncertainty involved in their collection.

Endowment contributions are reported as direct increases in net assets when received.

Other operating revenues are deferred to the extent that related services provided, or goods sold, are rendered/delivered subsequent to the end of the University's fiscal year.

Investment income related to restricted spending is deferred. Investment income without restrictions is recognized when earned.

(c) Cash and cash equivalents

Cash equivalents consist of highly liquid investments having terms to maturity on acquisition of three months or less, and are readily convertible to cash on short notice and are recorded at market value.

(d) Financial instruments

Financial instruments are recorded at fair value on initial recognition. Freestanding derivative instruments that are not in a qualifying hedging relationship and equity instruments that are quoted in an active market are subsequently measured at fair value. All other financial instruments are subsequently recorded at cost or amortized cost.

Transaction costs incurred on the acquisition of financial instruments measured subsequently at fair value are expensed as incurred. All other financial instruments are adjusted by transaction costs incurred on acquisition and financing costs, which are amortized using the straight-line method.

Financial assets are assessed for impairment on an annual basis at the end of the fiscal year if there are indicators of impairment. If there is an indicator of impairment, the University determines if there is a significant adverse change in the expected amount or timing of future cash flows from the financial asset. If there is a significant adverse change in the expected cash flows, the carrying value of the financial asset is reduced to the highest of the present value of the expected cash flows, the amount that could be realized from selling the financial asset or the amount the University expects to realize by exercising its right to any collateral. If events and circumstances reverse in a future period, an impairment loss will be reversed to the extent of the improvement, not exceeding the initial carrying value.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)

(e) Long-term debt

The University carries long-term debt at amortized cost.

(f) Inventories

Inventories are valued at the lower of cost and net realizable value. Cost is determined on a first-in, first-out basis.

(g) Capital assets

Purchased capital assets are recorded at cost less accumulated amortization. Contributed capital assets are recorded at fair value at the date of contribution when fair value is reasonably determinable. Otherwise, contributed assets are recorded at a nominal amount. Betterments, which extend the estimated useful life of an asset, are capitalized. When a capital asset no longer contributes to the University's ability to provide services, its carrying amount is written down to its residual value. Capital assets are amortized on a straight-line basis over their average useful lives, which have been estimated to be as follows:

Buildings	15 – 40 years
Building renovations and major equipment	10 years
Leasehold improvements	over lease term
Parking	20 years
Furniture and fixtures	5 years
Laptops	2 – 3 years
Computer equipment and vehicles	3 years
Capital leases	over economic life of assets

Capital assets acquired during the financial year are amortized at half of the applicable rate. Construction-in-progress represents assets not yet available for use, therefore amortization commences when the project is complete.

(h) Deferred capital contributions

Contributions received for capital assets are deferred and amortized over the same term and on the same basis as the related capital assets.

(i) Contributed services

The University receives a number of contributed services from individuals, corporations and community partners. Because of the difficulty in determining the fair value, contributed services are not recognized in the Consolidated Financial Statements.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)

(j) Use of estimates

The preparation of Consolidated Financial Statements requires management to make estimates and assumptions that affect the reported amount of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the Consolidated Financial Statements, and the reported amounts of revenue and expenses during the year. Significant estimates includes the carrying value of capital assets. Actual results could differ from these estimates.

2. CASH AND CASH EQUIVALENTS

	<u>2018</u>	<u>2017</u>
Bank of Montreal, cash balances	\$ 33,696,648	\$ 38,836,123
RBC Wealth Management GICs	1,161,624	17,593,407
IBM, credit facility drawn	(10,000)	(10,000)
Royal Bank of Canada, cash balances	33,908	57,035
Harris Bank, cash balances	471,717	46,625
Other, balances	215,563	272,349
	<u>\$ 35,569,460</u>	<u>\$ 56,795,539</u>

The University has a credit facility agreement with a Canadian chartered bank, which provides for a revolving operating line of credit up to \$17,000,000, bearing interest at prime plus 0.25%. At March 31, 2018, the University utilized, on a cash consolidated basis, nil (2017 - nil) of the operating line of credit.

The University also had a credit facility agreement with IBM Global Financing, which provides for a revolving operating line of credit up to \$5,000,000 bearing interest at prime plus 0.25%. At March 31, 2018, the University utilized \$10,000 (2017 - \$10,000) of the operating line of credit.

Guaranteed Investment Certificates ("GICs") which mature within 90 days of fiscal year-end are accounted for as cash and cash equivalents. These include \$1,161,624 of annual GICs (2017 - \$17,593,407) which mature on June 18, 2018.

3. SHORT-TERM INVESTMENTS

Short-term investments consist of \$16,625,200 (2017 - nil) annual Guaranteed Investment Certificates with a maturity date of September 21, 2018.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

4. INVESTMENTS

	2018		2017	
	Cost	Fair Value	Cost	Fair Value
Equities	\$ 15,455,938	\$ 16,385,244	\$ 13,228,753	\$ 15,336,164
Fixed income	8,482,767	8,433,366	7,728,900	7,770,990
Money Market/Cash	862,945	862,945	1,029,620	1,033,616
Held in Trust	-	-	5,192,106	5,492,041
	\$ 24,801,650	\$ 25,681,555	\$ 27,179,379	\$ 29,632,811

Investments held in trust represent the principal on the remaining proceeds of a loan of nil (2017 - \$5,492,041) that the University received from the Ontario Financing Authority in February 2012 (Note 8), and which the University then applied for the purpose of paying BNY Trust Company of Canada ("BNY"). These funds were held by BNY pursuant to Section 6.01(h) of the Supplemental Trust Indenture, pursuant to which the University's Series A Debentures were issued. The funds held in trust in the prior year comprised of both fixed income and money market investments.

(a) Credit, interest rate and maturity risk

The value of fixed income securities will generally increase if interest rates fall and decrease if interest rates rise. Changes in interest rates may also affect the value of equity securities. The fixed income investments consist of various Canadian government and corporate bonds and individual mortgage holdings. The fixed income investments bear coupon rates ranging from 0.0% to 18.2% (2017 - 0.0% to 18.2%) and have maturity dates ranging from April 1, 2018 to December 31, 2099 (2017 - April 1, 2017 to December 31, 2099).

(b) Foreign currency risk

The University is exposed to financial risks as a result of exchange rate fluctuations and the volatility of these rates. The University, through its investment management advisors, hedges against foreign exchange risks. There has been no change in the University's hedging policy from 2017.

(c) Market price risk

Market price risk arises as a result of trading fixed income securities and equities. The value of equity securities change with stock market conditions which are affected by general economic and market conditions. Changes in interest rates may also affect the value of equity securities. Fluctuation in the market exposes the University to a risk of loss.

(d) Liquidity risk

Money market investments represent instruments in highly liquid investments that are readily converted into known amounts of cash. The University invested in equity and fixed income investments that are traded in an active quote market.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

5. CAPITAL ASSETS

Capital assets consist of:

	2018			2017
	Cost	Accumulated Amortization	Net Book Value	Net Book Value
Land	\$ 8,131,815	\$ -	\$ 8,131,815	\$ 8,456,815
Buildings	419,146,729	110,164,237	308,982,492	291,742,761
Building renovations	25,304,975	16,129,652	9,175,323	9,699,640
Leasehold improvements	3,384,842	1,486,618	1,898,224	2,208,831
Parking	981,955	73,647	908,308	957,406
Furniture and fixtures	18,584,999	15,121,602	3,463,397	1,120,117
Laptops	14,163,816	11,983,908	2,179,908	3,892,467
Computer equipment	17,488,676	14,668,833	2,819,843	1,973,441
Vehicles	277,648	122,447	155,201	115,940
Major equipment	72,126,513	45,818,449	26,308,064	27,557,373
Construction-in-progress	2,640,884	-	2,640,884	18,615,268
	\$ 582,232,852	\$ 215,569,393	\$ 366,663,459	\$ 366,340,059
Assets under capital leases:				
Land	2,300,000	-	2,300,000	2,300,000
Buildings	35,689,192	5,064,953	30,624,239	31,299,567
Total	\$ 620,222,044	\$ 220,634,346	\$ 399,587,698	\$ 399,939,626

Included in land and buildings is the donation of a specific asset to the University in 2010 (Land \$300,000 and Buildings \$1,550,000).

Amortization of assets under capital leases for the current year totaled \$675,328 (2017 - \$675,327).

6. ACCOUNTS PAYABLE AND ACCRUED LIABILITIES

Included in accounts payable and accrued liabilities are government remittances payable of nil (2017 – \$2,170,589), relating to payroll related taxes.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

7. DEFERRED REVENUE

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

	2018	2017
Tuition	\$ 8,184,705	\$ 7,974,934
Research	5,446,327	5,419,572
Donations	2,729,219	3,310,874
Ancillary	1,285,891	2,601,233
Other	1,933,505	1,572,107
	\$ 19,579,647	\$ 20,878,720

8. OTHER LONG-TERM DEBT

The University has incurred debts in the amount of \$682,736 through third parties related to improvements in our downtown locations and the campus fieldhouse. Other long-term debt comprised the following:

	2018	2017
Unsecured loan, bearing fixed interest rate at 2.77% per annum, repayable semi-annually with final instalment due October 15, 2017	\$ -	\$ 5,501,181
Other unsecured loans, payable monthly / quarterly over a period of 5 months to 23 years and at interest rates ranging from 0% to 9.3%	682,736	888,862
	\$ 682,736	\$ 6,390,043

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

2019	\$ 132,672
2020	124,139
2021	124,398
2022	124,683
2023	3,535
Thereafter, through 2041	173,309
	682,736
Less: current portion	132,672
	\$ 550,064

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

8. OTHER LONG-TERM DEBT (continued)

The fair value of the other long-term debt is approximately \$787,000 (2017 - \$6,499,000). Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

9. OBLIGATIONS UNDER CAPITAL LEASES

The University entered into capital leasing arrangements on two properties in downtown Oshawa to accommodate the growth in student population. Capital lease repayments are due as follows:

2019	\$ 3,746,878
2020	3,774,388
2021	3,861,463
2022	3,931,876
2023	3,960,219
Thereafter, through 2041	65,478,524
Total minimum lease payments	84,753,348
Less: amount representing interest at rates ranging from 6.50% to 9.30%	46,585,999
Present value of net minimum capital lease payments	38,167,349
Less: current portion of principal obligations	571,000
	<u>\$ 37,596,349</u>

Interest of \$3,214,228 (2017 - \$3,247,346) relating to capital lease obligations has been included in interest expense. The total amount of assets under capital leases is \$37,989,192 (2017 - \$37,989,192) with related accumulated amortization of \$5,064,953 (2017 - \$4,389,625).

The fair value of the capital leases is approximately \$40,116,000 (2017 - \$42,125,000). Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

10. LONG-TERM DEBENTURE DEBT

On October 8, 2004, the University issued Series A Debentures in the aggregate principal amount of \$220,000,000. These debentures bear interest at 6.351%, payable semi-annually on April 15 and October 15, with the principal due in 2034. The proceeds of the issuance were used to finance capital projects including the construction of three Academic Buildings, a Library and related infrastructure. These debentures are secured by all assets of the University and are guaranteed by Durham College.

The debt is funded through special one-time grants from the Ministry of Advanced Education and Skills Development (“MAESD”), and by the University’s operating funds.

On August 12, 2011, an agreement was signed between the University and MAESD whereby the Ministry shall pay the University \$13,500,000 each year in equal semi-annual payments of \$6,750,000 in April and October to fund the repayment of the debentures. The agreement took effect on April 1, 2011 and the grant will continue until the maturity of the debentures in October 2034.

Total principal and interest paid on the debenture to March 31, 2018 is \$214,513,076 (2017 - \$198,012,070), \$169,487,712 funded by MTCU and \$45,025,364 funded by the University.

The University has deposited a minimum of \$50,000,000, less the aggregate principal repaid to-date of \$50,000,000. The fair value of funds held in trust on behalf of the University is nil in the current year (Note 3).

As at March 31, 2018, \$217,431,043 (2017 - \$217,431,043) had been used to finance capital assets.

Total principal repayments for debenture debt are as follows:

2019	\$ 5,790,925
2020	6,164,546
2021	6,562,273
2022	6,985,660
2023	7,436,364
Thereafter, through 2034	137,121,464
Total minimum payments	170,061,232
Less: current portion	5,790,925
	<u>\$ 164,270,307</u>

The fair value of the long-term debenture debt is approximately \$200,746,000 (2017 - \$213,200,000). Fair value has been calculated using the future cash flows of the actual outstanding debt instrument, discounted at current market rates available to the University.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

11. DEFERRED CAPITAL CONTRIBUTIONS

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

The changes in the balance consist of the following:

	<u>2018</u>	<u>2017</u>
Balance - beginning of year	\$ 164,581,824	\$ 162,285,684
Contributions	7,002,703	11,092,140
Recognized as revenue during the year	(9,035,624)	(8,796,000)
Balance - end of year	<u>\$ 162,548,903</u>	<u>\$ 164,581,824</u>

12. GRANT REVENUES – OPERATING AND RESEARCH

Grant revenues consist of the following:

	<u>2018</u>	<u>2017</u>
Operating	\$ 61,786,160	\$ 60,150,163
Externally funded research	10,467,166	9,640,388
Total grant revenues	<u>\$ 72,253,326</u>	<u>\$ 69,790,551</u>

13. PURCHASED SERVICE COSTS

Under a shared service agreement, the University purchases certain administrative services from Durham College. The cost of salaries, benefits and operating expenses purchased by the University are calculated based on a combination of individual percentage and actual cost by service area.

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

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

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

On February 19, 2016, the University and Durham College amended the SLA signed on March 11, 2015 only to the extent of a change in the monthly payment schedule to Durham College.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

13. PURCHASED SERVICE COSTS (continued)

The balance owing to Durham College for their share of the Collaborative Nursing program, included in accounts payable and accrued liabilities, is non-interest bearing, and will be paid at the end of the next fiscal year. The balance owing from Durham College for purchased services costs, have been paid to the University in April 2018.

14. INVESTED IN CAPITAL ASSETS

Investment in capital assets represents the following:

	2018	2017
Capital assets - net book value	\$ 399,587,698	\$ 399,939,626
Less amount financed by deferred capital contributions	(162,548,903)	(164,581,824)
Less amount financed by long-term debt (Notes 8, 9 and 10)	(208,425,464)	(214,455,489)
Total investment in capital assets	\$ 28,613,331	\$ 20,902,313
	2018	2017
Net change in investment in capital assets:		
Purchases of capital assets	\$ 25,138,745	\$ 28,175,619
Amounts funded by:		
Deferred capital contributions	(7,002,703)	(11,092,140)
Repayment of long-term debt	4,269,076	4,885,943
	\$ 22,405,118	\$ 21,969,422
	2018	2017
Amortization of deferred capital contributions related to capital assets	\$ 9,035,624	\$ 8,796,000
Less amortization of capital assets	(23,729,724)	(24,859,401)
	\$ (14,694,100)	\$ (16,063,401)
Net change during the year	\$ 7,711,018	\$ 5,906,021

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

15. INTERNALLY RESTRICTED NET ASSETS

Internally restricted net assets are funds restricted by the University and approved by the Board for future commitments for the appropriation of internally-funded research and for projects to improve and invest in the University's campus facilities, working capital and student aid. Re-purposing or increasing such restrictions is subject to Board approval.

Details of the internally restricted net assets are as follows:

	<u>2018</u>	<u>2017</u>
Balance comprised of the following:		
Research related activities	\$ 4,986,682	\$ 4,971,799
Capital related activities	12,592,671	14,665,688
Student awards	1,000,000	1,000,000
Working capital	6,000,000	6,000,000
Faculty carry-forwards	1,708,000	1,604,000
Fundraising campaign	1,453,321	1,505,000
Other	2,070,601	1,827,220
	<u>\$ 29,811,275</u>	<u>\$ 31,573,707</u>

16. ENDOWMENTS

Endowment funds are restricted donations received by the University where the endowment principal is required to be maintained intact. The investment income generated from these endowments must be used in accordance with the various purposes established by donors. The University ensures, as part of its fiduciary responsibilities, that all funds received with a restricted purpose are expended for the purpose for which they were provided.

Investment income on endowments is deferred and recorded in the Consolidated Statement of Operations when the donors' conditions have been met and the related expenses are recognized.

Endowment funds include grants provided by the Government of Ontario from the Ontario Student Opportunity Trust Fund ("OSOTF") and the Ontario Trust for Student Support ("OTSS"). Under these programs, the government matches funds raised by the University. The purpose of these programs is to assist academically qualified individuals who, for financial reasons, would not otherwise be able to attend University. On January 5, 2012, the Minister of Education announced that the OTSS would be discontinued as of the end of Fiscal 2012 fundraising year.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

16. ENDOWMENTS (continued)

The balance of endowments consists of the following:

	<u>2018</u>	<u>2017</u>
OSOTF	\$ 1,991,980	\$ 1,916,037
OTSS	16,243,355	15,041,001
Other	2,805,093	2,659,682
	<u>\$ 21,040,428</u>	<u>\$ 19,616,720</u>

The change in the balance of endowments is as follows:

	<u>2018</u>	<u>2017</u>
Endowment fund balance, beginning of year	\$ 19,616,720	\$ 18,171,660
Donations	366,458	1,021,332
Realized gains	999,930	383,748
Realized investment income	531,680	503,190
Income distributions	(474,360)	(463,210)
Endowment fund balance, end of year	<u>\$ 21,040,428</u>	<u>\$ 19,616,720</u>

As per the Ministry of Advanced Education and Skills Development policies, the transactions related to OSOTF and OTTS should be presented in these financial statements, for the year ended March 31, 2018.

	<u>OSOTF</u>	<u>OTTS</u>	<u>Total 2018</u>	<u>Total 2017</u>
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Schedule of Changes in Endowment Fund Balance

Endowment balance, beginning of year	\$ 1,612,184	\$ 13,616,741	\$ 15,228,925	\$ 14,464,346
Eligible cash donations	-	349,937	349,937	534,671
Preservation of capital	17,375	167,597	184,972	229,908
Endowment fund balance, end of year	<u>\$ 1,629,559</u>	<u>\$ 14,134,275</u>	<u>\$ 15,763,834</u>	<u>\$ 15,228,925</u>

Schedule of Changes in Expendable Funds

Available for Awards	<u>OSOTF</u>	<u>OTTS</u>	<u>Total 2018</u>	<u>Total 2017</u>
Expendable balance, beginning of year	\$ 303,853	\$ 1,424,260	\$ 1,728,113	\$ 1,587,531
Realized investment income	125,943	1,226,277	1,352,220	774,701
Less: Preservation of capital	(17,375)	(167,597)	(184,972)	(229,908)
Bursaries awarded	(50,000)	(373,860)	(423,860)	(404,211)
Expendable balance, end of year	<u>\$ 362,421</u>	<u>\$ 2,109,080</u>	<u>\$ 2,471,501</u>	<u>\$ 1,728,113</u>

In the current year, 261 bursaries valued at \$474,360 were disbursed from the total endowed funds (2017 – 253 bursaries valued at \$463,210).

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2018

17. PENSION PLAN

All employees of the University are members of a defined contribution pension plan. Employees must contribute a minimum of 3% of their earnings to this plan with the option at the employee's discretion, to increase these contributions to a total of 6% of contributory earnings. The University must contribute a minimum of 6% and may contribute a maximum of 8% of contributory earnings to this plan, depending on the employee's election of 2%. Contributions made by the University to the pension plan during the year were \$5,052,366 (2017 - \$4,773,201).

18. CONTINGENCIES AND CONTRACTUAL COMMITMENTS

(a) Contingencies

The University has been named as the defendant in certain legal actions, in which damages have been sought. The outcome of these actions is not determinable as at March 31, 2018 and, accordingly, no provision has been made in these consolidated financial statements for any liability which may result.

(b) Contractual Commitments

Future minimum lease payments, exclusive of taxes and operating costs, for premises and equipment under operating leases at March 31, 2018 are as follows:

2019	\$	1,718,561
2020		1,718,561
2021		1,724,304
2022		1,728,406
2023		1,712,583
Thereafter		5,031,572
	\$	<u>13,633,987</u>

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

SUMMARY OF INTERNALLY RESTRICTED RESERVES FOR THE YEAR ENDED MARCH 31, 2018

Internally restricted assets	Opening balance as at April 1, 2017 (\$'000)	Reserves used in 2017-18 (\$'000)	2017 - 18 Recommendations		Closing balance as at March 31, 2018 (\$'000)
			Planned / per policy (\$'000)	Additional (\$'000)	
Research related activities	4,972	0	15	0	4,987
Capital related activities	14,666	(8,707)	2,556	4,078	12,593
Student awards	1,000	(684)	0	684	1,000
Working capital	6,000	0	0	0	6,000
Faculty budget carry-forward	1,604	(754)	858	0	1,708
Fundraising campaign	1,505	(130)	0	78	1,453
Other	1,827	(179)	422	0	2,070
Total internally restricted assets	\$ 31,574	\$ (10,454)	\$ 3,851	\$ 4,840	\$ 29,811

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Statements - Year-over-year Analysis
For the year ended March 31, 2018

CONSOLIDATED STATEMENT OF FINANCIAL POSITION

Assets

Cash and short-term investments decreased \$4.6m and includes a net decrease of \$16.4m relating to the capital investment in the new SIRC building, offset by a net \$11.8m cash surplus attributable to excess revenues over expenses in the current year (including \$4.9m of one-time retail sales tax rebates on the original construction costs of the University, \$4.4m additional grants & tuition).

Grant receivable balance of \$7.5m includes \$4.7m Collaborative Nursing (CN) grant funded on a slip-year basis and therefore received in the next fiscal year, \$1.1m of operating grants received in April 2018, and \$1.7m of externally funded research grants, all of which are current.

Increase in grant receivable of \$1.4m includes \$0.8m of graduate expansion grant funded incrementally over the corridor and which was received in April 2018.

Other accounts receivable includes student and trade receivables. Y/E balance of \$8.2m includes \$2.5m of student receivables (\$1.3m for fall 2017 and winter 2018 fees and \$1.2m for spring 2017 and prior), \$2.3m due from Durham College for overpayment of 2017-18 shared services which has been received in April 2018, current receivables of \$2.1m (\$0.7m sales tax recoverable, \$0.7m COU application fees, \$0.7m ACE receivables), and other balances, none exceeding \$0.5m.

Investment balance of \$25.7m relates to endowed funds held at PH&N. The decrease of \$4.0 m includes a decrease of \$5.5m used to repay the last instalment of the MoF loan in Oct 2017 (**see Other Long Term Debt note under Liabilities below**), offset by a net increase of \$1.5m in endowed funds (new in-year donations \$0.4m, net investment income \$1.5m, M2M unrealized gain \$0.3m, offset by bursary disbursements \$0.7m).

Capital assets includes net additions of \$18.6m, offset by accumulated amortization of \$18.9m in the current year. Net additions comprise \$31.0m of SIRC capitalized costs in the current year offset by \$16.0m decrease in SIRC construction-in-progress, \$5.5m computer and other major equipment, \$2.0m building and lab renovations and FFE, \$2.0m laptop purchases net of \$5.6m disposals as a result of the “BYOD” program, offset by disposal of the Dulemba property \$0.3m.

Liabilities

Accounts payable and accrued liabilities decreased \$8.8m as the prior year balance included \$5.5m payable to Ellis Don for SIRC (construction substantially completed in Dec 2017 and therefore no o/s payable in CY), \$2.1m deductions due for March payroll (paid in-year in CY), \$1.4m due to Durham College for shared services (total instalments to DC exceeded shared services costs and therefore no o/s payable in CY), and other variances, none of which exceeds \$0.5m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Statements - Year-over-year Analysis
For the year ended March 31, 2018

CONSOLIDATED STATEMENT OF FINANCIAL POSITION (continued)

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

Balance of \$19.6m comprises \$8.2m deferred tuition representing 1 month of winter term fees not earned at the end of the fiscal year, and \$11.4m of revenues billed / received and not yet spent at the end of the year (\$5.5m of externally funded research revenues, \$2.7m of expendable donations, \$1.3m of student ancillary fees, and \$1.9m of miscellaneous deferred revenues).

Decrease of \$1.3m in deferred revenues relates primarily to a decrease in student ancillary fees due to 3 faculties going “BYOD” as of the start of the new academic year.

Other long-term debt decrease of \$5.7m includes \$5.5m repayment of the last instalment of the MoF loan in Oct 2017 (**see Investment note under Assets above**) and other repayments, none of which exceeds \$0.5m.

Decrease in obligations under capital leases represents the principal lease repayments for 61 Charles and 55 Bond in the current year.

Decrease in long-term debenture debt of \$5.4m relates to the principal repayment and resulting drawdown of the debt in the current year. This debt is fully payable in October 2034.

Deferred capital contributions decreased \$2.0m. This includes \$7.0m of new grants and donations received for capital projects in the current year (final \$5.4m SIF grant for SIRC construction, \$1.3m for building and lab maintenance, \$0.3m for ACE Moving Ground Plane), offset by \$9.0m amortization into revenues of all capital grants received since inception of the University.

CONSOLIDATED STATEMENT OF OPERATIONS

Revenue

Total Revenue increased \$9.9m (4.9%) over the prior year. Significant variances include:

Grant Revenue increase of \$2.5m includes \$1.2m operating grant, \$0.7m research grant, and \$0.6m of miscellaneous grants.

Donation revenue increased \$0.8m and is mainly attributable to donations received and recognized to support new faculty programs.

Student tuition fees increased \$3.4m, of which \$2.9m is due to the 3% YOY average increase in tuition fees (growth impact is minimal), and \$0.5m attributable to tuition from the new English Learning Center.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Statements - Year-over-year Analysis
For the year ended March 31, 2018

CONSOLIDATED STATEMENT OF OPERATIONS (continued)

Other income increase of \$5.0m includes the one-time receipt in July 2017 of \$4.9m of retail sales tax rebates on construction costs for the period January 2003 to December 2005 (**see note under Expenses “Professional fees” below for associated consulting costs**), offset by \$0.7m decrease in ACE revenues due to reduced hours from General Motors and other variances, none of which exceeds \$0.5m.

Realised/unrealised gain on investments decreased \$1.4m over the prior year due to less favorable market conditions for our equity asset portfolio, with the Canadian equity return being 17% less than in the prior year,

Expenses

Total Expenses increased \$7.1m (3.8%) over the prior year. Significant variances include:

Salaries & Benefits increase of \$4.2m includes \$3.1m for faculty and staff salary increases effective July 1, 2017, \$1.7m net new full-time hires, \$1.3m increase in limited term contracts to back fill for open faculty positions and support new university initiatives. These increases are offset by decrease of \$1.9m administrative leave representing \$1.2m admin leave accrued in the prior year, coupled with \$0.7m reversal of leave not paid out in the current year.

Supplies and Expenses increase of \$3.3m includes an increase of \$1.0m in awards and scholarships as more students are meeting the minimum eligibility requirements, coupled with an increase in financial aid funding for students with a greater need under the Ontario “Student Access Guarantee” program, \$0.5m expenses to support the new fundraising campaign, \$0.3m university branding expenses, and other immaterial variances.

Purchased Services decrease of \$1.2m includes \$0.6m decrease as a result of the renegotiation of overhead costs for purchased services with Durham College, \$0.4m decrease in bookstore expense due to declining sales from increased on-line competition and \$0.2m decrease for vacant positions in the shared IT and Facilities areas.

Amortization of capital assets decrease of \$1.1m is mainly attributable to the decrease in asset base due to fully depreciated assets in the current year, coupled with a higher number of laptops disposed and sold to students further to the “BYOD” program for the Faculties of Science, Health Science and Business & IT.

Professional fees increase of \$2.4m includes \$1.7m of consulting fees with respect to the settlement of the retail sales tax rebate dispute on construction costs (**see note under Revenue “Other Income” above**), \$0.5m of legal fees relating to the Student Association-related matters and other immaterial variances.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY**Financial Metrics****For the year ended March 31, 2018****I. FINANCIAL METRICS**

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

The table below shows the financial metrics for UOIT for the 3 fiscal years 2018, 2017 and 2016. Also included are the latest published data for the average comparator and average sector for fiscal year 2017. The average comparator includes the data for what is classified as “small” universities based on student FTE (‘Full-time equivalents’). The small sector universities comprise of 7 universities: Algoma, Lakehead, Laurentian, Nipissing, OCADU, Trent and UOIT.

Financial Metrics	Actual			Average comparator	Average sector
	2017 - 18	2016 - 17	2015 - 16	2016 - 17	2016 - 17
Net Income/Loss Ratio (1)	7.2%	6.2%	1.7%	0.9%	5.1%
Net Operating Revenues Ratio (2)	8.3%	18.1%	10.9%	6.7%	9.0%
Primary Reserve Ratio (days) (3)	53	40	27	24	106
Interest Burden Ratio (4)	8.2%	8.9%	9.4%	3.2%	2.2%
(b) IBR w MTCU funding	1.8%	2.0%	2.2%	n/a	n/a
Viability Ratio (5)	14.1%	10.0%	6.4%	11.2%	277.8%

Financial Metrics Analysis

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

UOIT continues to show positive net earnings ratio in 2017 – 18 due to its surplus operating revenues over expenses, as a result of unused planned capital & contingency reserves, savings from open faculty positions, and a one-time receipt of retail sales tax rebates relating to the original construction costs of the University.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Financial Metrics

For the year ended March 31, 2018

I. FINANCIAL METRICS (continued)

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

Our net operating ratio continues to be positive and reflects the University's operating surplus and positive working capital. The current year ratio is on trend with the average comparator and sector. The prior year ratio was unusually high due to a significant working capital balance primarily attributable to the timing of payment of large invoices in the prior year, including \$5.5m of SIRC invoices and \$2.1m of payroll deductions which were paid after year-end.

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

Primary reserve ratio improvement over the prior year is due to UOIT's increase in its expendable net assets (unrestricted and internally restricted net assets), resulting from the current year operating surplus.

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

UOIT's interest burden continues to improve as it pays back its long-term debt obligations without entering into any new debt. The cost of servicing UOIT's debt is above the comparator and the sector due to its much higher debt obligations.

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

Including the impact of the Ministry funding, UOIT's interest burden ratio is more in line with the average comparator and average sector ratios.

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

This ratio has improved as UOIT continues to experience operating surplus, and hence improved expendable net assets, coupled with reduced debt obligations.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Financial Metrics

For the year ended March 31, 2018

I. FINANCIAL METRICS (continued)

(1) Net Income/Loss Ratio

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

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

(4) Interest Burden Ratio

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

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

(2) Net Operating Revenues Ratio

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

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

(5) Viability Ratio

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

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

(3) Primary Reserve Ratio

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

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

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
SUMMARY OF INTERNALLY RESTRICTED RESERVES FOR THE YEAR ENDED MARCH 31, 2018

	A	B	C D 2017 - 18 Recommendations		E
Internally restricted assets	Opening balance as at April 1, 2017 (\$'000)	Reserves used in 2017-18 (\$'000)	Planned / per policy (\$'000)	Additional (\$'000)	Closing balance as at March 31, 2018 (\$'000)
Research related activities	4,972	0	15	0	4,987
Capital related activities	14,666	(8,707)	2,556	4,078	12,593
Student awards	1,000	(684)	0	684	1,000
Working capital	6,000	0	0	0	6,000
Faculty budget carry-forward	1,604	(754)	858	0	1,708
Fundraising campaign	1,505	(130)	0	78	1,453
Other	1,827	(179)	422	0	2,070
Total internally restricted assets	\$ 31,574	\$ (10,454)	\$ 3,851	\$ 4,840	\$ 29,811



**Financial Update
Report to Audit and Finance Committee
For the year ended March 31, 2018**

June 18, 2018

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
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For the year ended March 31, 2018

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University of Ontario Institute of Technology

I. 2017 - 18 Operating Analysis (in '000 s) For the year ended March 31, 2018

April 1, 2017 - March 31, 2018									
	Total Annual Budget	3rd Quarter Y/E Forecast	Actuals	Fav. (Unfav.) Actuals vs. Budget \$ / %		Fav. (Unfav.) Forecast vs. Budget \$ / %		Fav. (Unfav.) Actuals vs. Forecast \$ / %	
Revenue									
Grants	75,541	78,116	78,191	2,649	4%	2,575	3%	75	0%
Tuition	78,318	80,864	80,047	1,729	2%	2,546	3%	(817)	-1%
Student Ancillary	12,081	13,614	13,527	1,445	12%	1,533	13%	(88)	-1%
Other	17,074	22,523	22,840	5,766	34%	5,449	32%	317	1%
Total Revenue	\$ 183,014	\$ 195,117	\$ 194,604	\$ 11,590	6%	12,103	7%	(513)	0%
Expenditures									
Academic	70,646	69,318	69,241	1,404	2%	1,327	2%	77	0%
Academic Support	33,001	34,814	34,887	(1,886)	-6%	(1,813)	-5%	(73)	0%
Administrative	31,771	28,376	28,166	3,605	11%	3,395	11%	210	1%
Sub-total	\$ 135,418	\$ 132,508	\$ 132,294	\$ 3,123	2%	2,910	2%	\$ 214	0%
Purchased Services	13,733	13,076	12,703	1,030	8%	656	5%	374	3%
Ancillary/Commercial	10,072	9,714	9,156	916	9%	358	4%	558	6%
Debt Interest Expense	11,061	11,061	10,903	158	1%	-	0%	158	1%
Fundraising Expense	245	754	759	(514)	-210%	(509)	-208%	(5)	-1%
Total Expenses	\$ 170,529	\$ 167,113	\$ 165,815	\$ 4,714	3%	3,415	2%	\$ 1,298	1%
Operating Contribution	\$ 12,485	\$ 28,004	\$ 28,789	\$ 16,304	131%	15,517	124%	\$ 786	3%
Expenses disclosed on the Balance Sheet									
Capital Expenses	6,538	9,061	9,982	(3,444)	-53%	(2,523)	-39%	(921)	-10%
Principal Repayments - debenture/leases	5,948	5,948	5,791	157	3%	0	0%	157	3%
Net Surplus	\$ (0)	\$ 12,996	\$ 13,016	\$ 13,016	N/A	12,995	N/A	\$ 21	0%
SIRC Costs (not funded from Operating Budget)									
Funded by: Capital Grant	-	4,980	5,435	5,435	N/A	4,980	N/A	455	9%
PY internally restricted reserves	-	9,445	8,706	8,706	N/A	9,445	N/A	(739)	-8%
Total SIRC Costs	\$ -	\$ 14,425	\$ 14,141	\$ 14,141	N/A	14,425	N/A	\$ (284)	-2%

Reconciliation to Y/E audited FS:

	\$
Operating Contribution	28,789
Items not budgeted:	
Externally funded research donations and revenues	11,221
Externally funded research expenses	(9,686)
Non-cash transactions:	
Amortization of capital assets	(23,730)
Amortization of deferred capital contributions	9,036
Unrealized gain on investments	287
Capital revenues accounted as Deferred Capital Contributions on the balance sheet	(521)
Excess revenues over expenses - as per audited Financial Statements	\$ 15,396

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – 2017 – 18 Operating Analysis
For the year ended March 31, 2018

I. 2017 – 18 Operating Analysis

The year-end surplus, after capital expenses, debenture and lease payments, is \$13.0m against a 2017 - 18 balanced budget and a \$13.0m forecast surplus reported at the end of the 3rd Quarter.

The operating budget does not include the impact of the construction of the SIRC Building and this is disclosed separately.

Below is a summary of the variances of the year-end actuals versus the approved 2017 – 18 budget and 3rd quarter forecast.

2017 – 18 Enrolment Update

FTE's	Annual Budget	3rd Quarter Forecast *	Actual **	Actual vs. Budget		Forecast vs. Budget	Actual vs. Forecast
Undergraduate							
Domestic	7,755	7,959	7,936	181		204	(23)
International	501	449	435	(66)		(52)	(14)
Graduate							
Domestic	329	420	416	87		91	(4)
International	137	144	138	1		7	(6)
Total FTE's	8,722	8,972	8,924	202		250	(48)

* 3rd Quarter Forecast is based on Nov 1, 2017 enrolment projection

** 2017 – 18 Actual is based on Feb 1, 2018 official enrolment count

Actual enrolment shows a positive net variance of 202 FTE against an original budget of 8,722 FTE. Current eligible undergraduate and graduate enrolment projection is within the + / - 3% of UOIT's corridor midpoint

Domestic undergraduate and graduate is favourable 268 FTE with faculties experiencing growth above budget, except for the Faculty of Health Science (-38 FTE) and Faculty of Engineering (-14 FTE).

International undergraduate is unfavourable against budget by 65 FTE across all faculties, except for Energy Systems and Nuclear Science which is favourable to budget (15 FTE)

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – 2017 – 18 Operating Analysis
For the year ended March 31, 2018

I. 2017 – 18 Operating Analysis (continued)

Revenues

Grants are \$2.6m favourable to budget and forecast. The positive variance is due to \$2.4m increase in core operating grant, including \$0.8m for final 2016-17 enrolment confirmation being higher than expected, a one-time grant receipt of \$0.7m to reflect the 2016-17 pre-corridor flow-through, an additional \$0.7m for SMA 2 graduate growth, \$0.2m for Collaborative Nursing YOY growth, and \$0.2m increase relating to the new Mental Health grant.

Tuition is favourable \$1.7m against an original budget of \$78.3m. This includes

- (i) \$2.5m as reported in the Q3 forecast, of which \$1.5m pertains to an adjustment in the calculation of the Faculty of Engineering tuition fees and the financial impact for “student drops”, \$0.8m due to higher than expected growth, and \$0.2m higher than expected revenue from the new English Learning Centre.
- (ii) At year-end, there is an unfavourable variance to forecast of \$0.8m attributable to lower than anticipated increase in enrolment (-48 net FTE).

Student Ancillary fees are \$1.5m favourable to budget and forecast, of which \$1.2m relates to the accounting recognition of prior year deferred revenues to fund for the purchase of athletic capital equipment of \$0.7m and to account for the higher than expected loss on the sale of TELE laptops of \$0.5m.

Other Revenue, including purchased services, is favourable \$5.8m to the original budget. This includes

- (i) \$5.4m as reported in the Q3 forecast of which \$4.9m is the one-time receipt in settlement of historical claims for retail sales tax rebates on construction costs for the period January 2003 to December 2005 and other immaterial variances.
- (ii) Additionally, there is a \$0.3m favourable actual variance to forecast, relating to miscellaneous other revenues, none of which is material.

Expenses

Academic units are showing a positive variance of \$1.4m to budget and forecast. The positive variance relates to labour savings from open faculty positions. The most significant variances, none of which exceeds \$0.5m, are in the Faculty of Business & IT and Faculty of Health Sciences.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – 2017 – 18 Operating Analysis
For the year ended March 31, 2018

I. 2017 – 18 Operating Analysis (continued)

Academic Support units are unfavourable \$1.9m to budget and forecast. This includes \$0.5m higher than expected loss on the sale of TELE laptops, \$0.3m additional expenses that are fully covered by a higher than expected grant, \$0.3m increase in student awards and other immaterial increases / decreases.

Administrative units are showing a favourable variance to budget of \$3.6m and includes \$4.7m release of unused capital and contingency reserves and \$0.7m reversal of administrative leave accruals not paid in the current year. These positive variances are offset by \$1.7m of consultants' fees with respect to the retail sales tax dispute (settled in June 2017 for \$4.9m), \$0.6m in additional legal fees for Student Association related matters, and other immaterial variances.

Purchased Services is favourable to budget \$1.0m, of which

- (i) \$0.6m was included in the Q3 forecast and relates to savings resulting from the renegotiation of overhead costs for shared services with Durham College.
- (ii) Additionally, there is a \$0.4m favourable actual variance to forecast, mainly attributable to savings from vacant positions and general operating expenses in the shared IT and Facilities services.

Ancillary/Commercial is favourable to budget \$0.9m and includes \$0.5m decrease in bookstore expenses due to lower than expected purchases of books for the winter semester and \$0.4m savings in ACE operating expenses attributable to lower than expected utilization of the ACE facility.

Capital Expenses funded from Operations are unfavourable \$3.4m to budget and includes \$2.2m additional IT & Facilities capital projects identified in-year, including \$1.0m of lab renovations, faculty equipment & IT equipment; \$0.9m of facilities projects including student space renovations, university signage, heat pump replacement, flooring replacement; \$0.8m of athletic equipment; and other smaller capital projects.

Other disclosure: SIRC Building

The total costs incurred for the project in 2017 – 18 are \$14.1m, of which \$5.4m is funded through the “SIF” grant and \$8.7m through prior year internally restricted reserves.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Capital
For the year ended March 31, 2018

II. CAPITAL

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

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

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

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

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

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

Status update

The construction of the SIRC building is now completed and fully occupied since January 2, 2018.

Costs incurred to completion are \$31.0m against a total approved budget of \$33.5m. Contingency funds of \$1.2m for the project were not utilized and Furniture and Fixtures were \$1.3m under budget.

Total costs incurred have been capitalized in the current fiscal year.

Total “SIF” funding, amounting to \$13.0m, have been received as at the end of March 2018.

Construction holdbacks have been released as at the end of the fiscal year. Warranty holdbacks, amounting to \$0.5m, will be released in October 2018.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Capital
For the year ended March 31, 2018

II. CAPITAL (continued)

B. Moving Ground Plane (“MGP”)

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

The Moving Ground Plane is a giant belt that acts as a road moving under a vehicle, simulating the aerodynamic forces against moving vehicles and measuring the physical characteristics in real-world conditions. It will give the university’s students the tools to train and conduct research in a high-tech environment, preparing them for the careers of the future. It will also help companies and researchers create new energy-efficient products and reduce carbon emissions in the automotive industry.

UOIT has submitted an application to FedDev for additional funding of approximately \$10.2m and is working with industry partners (e.g. Magna and Multimatic) to complete the funding requirements for the installation and integration of the MGP into the ACE facility.

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

MGP Progress Update

- The University has paid ODU US \$2.0m in settlement for the equipment in September 2016, and has received CAD \$2.25m (CAD 2.5m less 10% holdback) from the Ministry of Economic Development and Growth (MEDG) in November 2016 to cover for the purchase of the equipment.
- The University received the 10% outstanding holdback, amounting to \$0.25m, in March 2018.
- At the request of Multimatic, all components of the rolling road have been moved to a location at the Oshawa Airport.
- On February 12, 2018, the Minister of Research, Innovation and Science (MRIS) announced that the Province is investing an additional \$1.5m to enhance the University’s one-of-a-kind ACE facility by adding a Moving Ground Plane. This is matched by cash contributions of \$1.0m by Magna International and \$0.5m by the University. In addition, Multimatic is also providing engineering services from a team of highly talented automotive engineers to help develop the Moving Ground Plane.
- The University’s Senior Leadership team has approved to proceed with the ACE building expansion and modifications that will allow the integration of the MGP into the ACE facility at a later date.
- Executive Management is in active discussion with the various levels of government to obtain the additional funding required for the installation and integration of the MGP into the ACE facility.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Cash Flow Summary
For the year ended March 31, 2018

III. CASH FLOW

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

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

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

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

In September 2016, in light of the uncertainty regarding the timing of receipt of the SIF funding, and to provide flexibility for the SIRC construction project, all GIC's that matured at that time, were re-invested in 30-day cashable GIC's.

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

Cash Flow Update

- UOIT has not utilized its available line of credit at the end of the fiscal year.
- With the completion of SIRC, and a healthy operating cash balance, short-term investments amounting to \$17.6m, were re-invested in annual GIC's at BMO Nesbitt Burns and RBC Wealth Management in June 2017 and Oct 2017 respectively.
- After year-end, and in April 2018, an additional \$8.0m cash was invested in annual GIC's at BMO Nesbitt Burns.
- **Operating cash balance**, including short-term investments of \$17.8m, is **\$42.4m** at the end of the fiscal year.
- **Externally and internally restricted cash balances** (including Research, Advancement, Campus Childcare, Regent Theatre, and ACE) is **\$10.5m** at the end of the fiscal year.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

III. Cash Flow Summary for the year ended March 31, 2018

		Actual			Actual			Total Actual
		Apr - Jun 2017	Jul - Sep 2017	Oct - Dec 2017	Jan 2018	Feb 2018	Mar 2018	FY 2017-18
		\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s
Operating Beginning Cash Balance	A	28,936	12,479	26,085	12,212	32,203	27,634	28,936
Total Operating Inflows	B	37,730	68,909	36,346	32,715	8,811	12,458	196,969
Total Operating Outflows	C	(48,464)	(46,403)	(48,603)	(11,896)	(12,921)	(16,671)	(184,958)
Net Operating Cash Flows	D=B+C	(10,734)	22,506	(12,257)	20,819	(4,110)	(4,213)	12,011
Total Operating Cash Available	E=A+D	18,202	34,985	13,828	33,031	28,093	23,421	40,947
SIRC Building Outflows	F	(6,723)	(10,900)	(2,873)	(828)	(459)	(31)	(21,814)
SIRC Building Inflows	G	1,000	2,000	1,257	0	0	1,180	5,437
Net SIRC Building	H=F+G	(5,723)	(8,900)	(1,616)	(828)	(459)	1,149	(16,377)
Operating Ending Cash Balance after SIRC	I=E+H	12,479	26,085	12,212	32,203	27,634	24,570	24,570 N1
Total Internally and Externally Restricted Cash	J	10,365	10,209	10,557	10,749	10,045	10,528	10,528 N2
Total Consolidated Cash Position	K=I+J	22,844	36,294	22,769	42,952	37,679	35,098	35,098

Total cash position as at MAR 31, 2018

Total Operating Cash after SIRC	24,570 N1
Add: Short-term investments in GIC's	17,796
Total Operating Cash and ST investments	<u>\$ 42,366</u>

Total Restricted Cash	<u>\$ 10,528 N2</u>
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UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Long-term Forecast
For the year ended March 31, 2018

IV. LONG-TERM FORECAST

In April 2018, and as part of the annual budget presentation to the Audit and Finance Committee, the Chief Financial Officer presented a long-term forecast for the budget years 2018 – 19 to 2027 – 2028 inclusive. This long-term projection is cast based on the February 1, 2018 official count enrolment numbers.

Assumptions on the forecast model

1. Grant funding as per the new funding formula implemented in 2017 – 18 year.
 - Funding held at 2016 – 17 level for the period of SMA 2 (2017-18 to 2019-20 inclusive), including a one-time receipt of \$0.7m for pre-corridor flow-through, and additional grant of \$0.7m for SMA 2 graduate growth.
 - Negotiation with MAESD in 2018-19 for growth funding above the corridor for future SMA's.
 - Currently, there is no indication from MAESD that there will be funding above growth; therefore, the model includes an “*uncertainty in growth funding*”.
2. Growth in undergraduate domestic, mostly nursing and nuclear science, and growth in international undergraduate, mostly engineering.
3. Tuition YOY average increase at the current approved rate of 3.0%, with a relatively higher increase for international students in the first 5 years.
4. Retention rate held at current rate of 80.3%
5. Salary increases as per the new “job evaluation system” and as per faculty collective agreements
6. New faculty hires to maintain current student to faculty ratio
7. New administrative hires at 2:1 for every new faculty hire
8. Faculty headcount annual attrition \$0.5m
9. TELE transformation to a full “BYOD” model by FY 2019 - 20
10. Operational reserves \$2.0m + planned capital and deferred maintenance reserves \$2.5m for a total of \$4.5m
11. 3% YOY increase in utilities
12. 2% YOY increase in purchased services cost from Durham College

The operating long-term forecast excludes major capital projects such as the moving ground plane as this will be funded through external sources, and the new student life building which will be funded through prior year internally restricted reserves and other non-operating sources.

The current forecast is showing a surplus of \$15.2m over the 10-year period. This will be updated with the Sep 2018 Day 10 enrolment projection and presented to the Committee in November.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
IV. LONG-TERM FORECAST - FY19 to FY28 inclusive (in ' 000s)

10-year Forecast (in ' 000s)										
SMA 2		SMA 3			SMA 4			SMA 5		
FY 19 Budget	FY 20 Fcst	FY 21 Fcst	FY 22 Fcst	FY 23 Fcst	FY 24 Fcst	FY 25 Fcst	FY 26 Fcst	FY 27 Fcst	FY 28 Fcst	Total 10-year Forecast
52,181	52,051	51,525	51,469	51,425	52,782 (731)	52,769 (717)	52,753 (702)	54,864 (2,812)	54,849 (2,798)	526,668 (7,760)
4,637	5,379	5,426	5,755	5,788	5,807	5,832	5,861	5,891	5,921	56,297
13,500	13,500	13,500	13,500	13,500	13,500	13,500	13,500	13,500	13,500	135,000
9,668	9,856	9,658	9,658	9,658	9,658	9,658	9,658	9,658	9,658	96,787
83,992	89,174	94,169	100,062	105,848	110,320	114,419	119,275	123,671	129,618	1,070,549
12,163	8,620	8,801	9,002	9,204	9,318	9,547	9,770	9,988	10,194	96,608
3,832	3,832	3,832	3,832	3,832	3,832	3,832	3,832	3,832	3,832	38,322
726	726	726	726	726	726	726	726	726	726	7,255
13,555	14,724	14,037	14,107	14,178	14,231	14,311	14,392	14,473	14,563	142,572
\$ 194,254	\$ 197,862	\$ 201,674	\$ 208,111	\$ 214,158	\$ 219,443	\$ 223,877	\$ 229,066	\$ 233,789	\$ 240,063	\$ 2,162,297
(94,970)	(99,337)	(103,311)	(107,894)	(112,557)	(116,733)	(120,907)	(125,191)	(129,310)	(133,960)	(1,144,170)
(17,860)	(16,955)	(17,209)	(17,592)	(18,141)	(18,900)	(19,576)	(20,425)	(21,240)	(22,014)	(189,912)
(74,111)	(74,091)	(74,052)	(74,706)	(75,672)	(76,268)	(76,353)	(76,857)	(77,364)	(77,871)	(757,345)
(7,312)	(5,610)	(5,515)	(5,506)	(5,220)	(5,307)	(5,307)	(5,307)	(5,307)	(5,307)	(55,697)
\$ (194,254)	\$ (195,993)	\$ (200,087)	\$ (205,698)	\$ (211,590)	\$ (217,208)	\$ (222,142)	\$ (227,780)	\$ (233,220)	\$ (239,152)	\$ (2,147,124)
\$ (0)	\$ 1,869	\$ 1,587	\$ 2,413	\$ 2,568	\$ 2,235	\$ 1,735	\$ 1,286	\$ 569	\$ 911	\$ 15,173

* Donations relate to expendable and interest portion of endowed funds that will be disbursed as awards and scholarships in the budget year. It does not include endowed principal and new capital campaign donations.



BOARD REPORT

SESSION:

Public ☒
Non-Public ☐

ACTION REQUESTED:

Decision ☒
Discussion/Direction ☐
Information ☐

Financial Impact ☒ Yes ☐ No

Included in Budget ☐ Yes ☒ No

TO: Board of Governors

DATE: June 18, 2018

PRESENTED BY: Douglas Holdway

SUBJECT: Autonomous Vehicle Innovation Network-Regional Technology Development Site

COMMITTEE/BOARD MANDATE:

- The Audit and Finance Committee, on behalf of the Board, is responsible for overseeing the financial affairs of the university with respect to all auditing, financial reporting and internal systems and control functions, budget approvals, risk management, and other internal and external audit functions and activities at the university.
- This report outlines the University's role as the anchor location for a Regional Technology Development Site (RTDS) as part of Ontario's Autonomous Vehicle Innovation Network (AVIN).

BACKGROUND/CONTEXT & RATIONALE:

- AVIN is an \$80M, 5-year investment, delivered by the Ontario Centres of Excellence (OCE) on behalf of
 - Ministry of Economic Development and Growth (MEDG)
 - Ministry of Research, Innovation and Science (MRIS)
 - Ministry of Transportation (MTO)
- The overall network is comprised of a central hub and 4 programs. The 4 programs include: 1) Project demonstration funding, 2) funding for student internships, 3) funding toward a demonstration zone (City of Stratford) and 4) various RTDS locations (Durham, Toronto, Waterloo, South Western Ontario, Ottawa, Hamilton). The University, in partnership with Durham College and the Spark Centre, has been successful in their application to create a RTDS in the Durham Region anchored at the ACE facility. Funding for this Durham Region RTDS includes a \$4.4M contribution from Ontario to the University in addition to \$6M of in-kind funding from private sector partners.

- The primary mandate of the RTDS sites, and the AVIN program in general, is to support new innovation in autonomous vehicle (AV) technologies. AVIN is geared toward supporting this innovation at the small and medium size enterprise (SME) level. Of the 6 RTDS sites awarded across Ontario, the University is the only academic institution that will lead the activities of a RTDS. This was entirely based on the existence of ACE, and its staff, as an anchor location.
- The Durham Region RTDS funding will be used to expand ACE's capabilities to include new innovative approaches for developing, testing and validating AV technologies. One of the largest partner contributions will come from IBM Canada who will contribute \$3M in-kind toward the RTDS with a focus on leveraging its large data analysis tool sets within ACE. Other partners will collaborate with the University, through ACE, to create a virtual wireless environment within the ACE chambers, an electric vehicle charging system and a centre for automotive software validation and certification. Funding will also be used to provide operations support, entrepreneurship programming and purchase new equipment for ACE's machine shop.
- List of UOIT Milestones/Deliverables is attached as Schedule 1

RESOURCES REQUIRED:

- UOIT's in-kind contribution is valued to be approximately \$500,000, which includes the following:
 - Use of campus facilities including: ACE, Clean Energy Research Lab, Gaming Lab, Immersive Simulation Lab, Visualization and Information Analysis Lab, Virtual Reality/Artificial Reality Lab, Electronics Lab, Gaming Lab, Fabrication and Space Prototype Lab. The allocation of campus facilities to RTDS activities is TBD.
 - University personnel to support RTDS deliverables in the form of business advisory resources and outreach and marketing
 - Procurement, Finance and Legal departments to review and manage the contractual obligations regarding reporting, sub-contracting and vendor management (partnerships with 10 public and private sector entities)
- The proposed budget for the RTDS does include funding to support program management and reporting but does not include any mechanism to apply overhead. Specifically, the budget includes \$137,500 in annual funding to support administrative requirements, such as program coordination, management of contractual requirements and overall management of the site's activities and partnerships.

IMPLICATIONS:

- Compliance Risk: The OCE-Spark funding agreement has not been finalized. Therefore, there is some ambiguity surrounding UOIT's contractual obligations as a RTDS. However, members of UOIT, including Legal Counsel, Research, have reviewed the draft funding agreement between OCE and Spark and have identified potential risks to UOIT. Members of UOIT have communicated these risks to Spark during the negotiation process of the OCE-Spark funding agreement.
- Financial Risk: With the recent change in Ontario's governing political party, there is some risk that AVIN funding will be altered/withdrawn. The funds have already been transferred from Ontario to OCE and to the best of UOIT's knowledge, the new government has committed to funding the project as agreed.
- Operational Risk: The amount of internal resourcing that is required to meet the Milestones/Deliverables is vast and requires a great amount of strategic planning and execution. It is anticipated that UOIT will add additional personnel to support various administrative requirements and oversee program coordination.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- With the University's ACE facility as the anchor location for the Durham RTDS, the University will be able to offer Durham Region's entrepreneurs and SME's with the capability required to develop, prototype and validate new AV technologies. By merging new and enhanced research infrastructure with the skill sets of the University's faculty, the Durham RTDS will be equipped with the tool sets needed to accelerate and lead AV innovation with its partners across Durham Region and Ontario.
- The new, internationally leading capabilities planned at the University will provide its students with access to cutting edge tools and innovation to support their research and make them market ready for careers in this rapidly evolving technology space.
- The Durham RTDS will strengthen the University's ability to support its own entrepreneurs and those within the Durham Region. Entrepreneurs and SME's will be drawn to the University to access both its internationally leading AV R&D capabilities and faculty and staff.
- The Durham RTDS will be at the geographic center of AVIN. It will offer capabilities that will be unique from those being proposed by the 5 other RTDS locations and is expected to draw innovators and companies from across Ontario to the University.

ALTERNATIVES CONSIDERED:

- N/A

CONSULTATION:

- The activities proposed for the Durham Region RTDS were developed through consultation with the University's regional partners (Spark Centre and Durham College), feedback from industry and consultation with Ontario over a period of approximately 2 years.
- The Durham Region RTDS thematic focus was based on consultation with the 5 other RTDS locations over a period of 6 months to ensure each site would provide a differentiated offering to support AV innovation across Ontario.
- Over the past several weeks, the University Industry Liaison has consulted with Legal Counsel, Research and the Office of the University Secretary and General Counsel to review the terms of the anticipated funding agreement

COMPLIANCE WITH POLICY/LEGISLATION:

- Based on the Signing Authority Registry and the potential obligations under the forthcoming RTDS award agreement, the Board must approve UOIT's participation and obligations as a significant member of the Durham Region RTDS under AVIN and the RTDS award agreement between Spark and the University

NEXT STEPS:

- Consult with University Legal personnel in the drafting and negotiation of the RTDS award agreement between Spark and the University
- Develop contractual relationships with RTDS partner organizations/participants
- Issue RFQ's, select suppliers and issue purchase orders for equipment and engineering services required to create new capabilities
- Consult with HR to develop postings for new positions funded by the RTDS allocation
- Form an advisory committee comprised of representatives of the partner organizations/participants to provide guidance and technical perspective for the RTDS over the programs duration

MOTION FOR CONSIDERATION:

- *Pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors hereby supports the AVIN Project, as presented, and given the timeline of Milestones and Deliverables set out in Schedule 1, the UOIT Board of Governors expressly delegates authority to the Executive Committee of the Board for the period ending with the commencement of the next meeting of the Board of Governors, to make further decisions and resolve any issues that arise in connection with the AVIN Project.*

Schedule 1 – Milestones and Deliverables

Milestone	Deliverables	Anticipated Completion Date
Project launched	Launch is made with funding partners and operations are open to eligible applicants	June 6, 2018
<p>Sign Memorandums of Understanding (MOU) with each/all Project Partners:</p> <ul style="list-style-type: none"> ○ Spark Centre ○ University of Ontario Institute of Technology (UOIT) ○ Durham College ○ Region of Durham ○ IBM Canada ○ eCAMION ○ Tetra Tech ○ Mackie Transportation ○ QA Consulting ○ Kesight Technologies ○ GAP Wireless ○ AirIQ ○ Veridian Corporation ○ The FLASHFIBR Group ○ The Sky Guys 	Binding agreements with clear deliverables, contributions and schedule signed with each/all Project Partners	October 1, 2018
Bi Annual Regional Collision Events	Regional Entrepreneurs and SME's will have the Opportunity to Network	Twice per year completed by March 31 of each Project Year

Installation of Indoor Wireless Simulation Environment	AVIN Entrepreneurs and SME's will have access to a globally leading wireless simulation environment	July 1, 2019
Client Access to Indoor Wireless Simulation Environment	AVIN Entrepreneurs and SME's will have access to a globally leading wireless simulation environment. In Partnership with Keysight Technologies	July 1, 2019
Maintenance and ongoing upgrades (development of new capabilities) of Indoor Wireless Simulation Environment	AVIN Entrepreneurs and SME's will have access to a globally leading wireless simulation environment. In Partnership with Keysight Technologies	Annually Completed by March 31 of Fiscal years 3,4,5
Creation of Data Visualization Toolset at RTDS-Phase 1 Climatic Windtunnel	In Partnership with DC, Spark and IBM AVIN will have complete toolset for data visualization for all testing and validation taking place at Durham RTDS	July 1, 2019
Creation of Data Visualization Tool Set at RTDSPhase 2 Other RTDS-Labs	In Partnership with DC, Spark and IBM AVIN will have complete toolset for data visualization for all testing and validation taking place at Durham RTDS	December 1, 2019
Client Access to Data Visualization Tool Set	In Partnership with DC, Spark and IBM AVIN will have complete toolset for data visualization for all testing and validation taking place at Durham RTDS	July 1, 2019
Launch of Software Validation and Certification Center	Software Validation and Certification Center for entire AVIN	October 1, 2019
Software Validation and Certification Services -All Client Access	Software Validation and Certification Center for entire AVIN in partnership with QA Consultants	October 1, 2019
Development of EV Charging Test Bed	EV Charging Test bed with integrated energy Storage in partnership with eCAMION	March 31, 2019
Installation of EV Charging Test Bed	Installation of EV Charging Test bed with integrated energy Storage-in partnership with eCAMION	May 1, 2019

Data collection and AI based system optimization. Availability for project development (Autonomous charging)	Commissioning and ongoing operation as a test and product development platform-in partnership with eCAMION	March 31, 2021
High Resolution Mapping of Durham/Northumberland Regions	High Resolution map data for autonomous vehicle development	March 31, 2020
Development of RTDS Maker Space- Mechanical Prototyping	Installation and commissions of mechanical prototyping equipment in ACE Maker Space (3D Printers, precision cutters, laser welding, mini machining, EDM)	March 31, 2019
Development of RTDS Maker Space- Electronics Prototyping	Installation of electronic prototyping equipment in ACE Maker Space(s)- In Partnership with Keysight Technologies	March 31, 2019
Client Access to Maker Space Capabilities and Technician	Ongoing access to Maker Space Capabilities	September 1, 2018
Annual Business Plan	Submitted completed Annual Business Plan pursuant to Section 4.1 and Schedule "E"	April 30, 2019-2021
Audited Financial Statements provided	Submitted audited financial statements for the Fiscal Year then ended including a statement of income, balance sheet and statement of cash flow	June 15, 2018-2022
Submit a written report to OCE regarding the provision of French language services and how the Recipient is meeting the requirements of	Approval of report by OCE	June 30, 2018-2021

Semi-Annual Project Status Report Q1/Q2	Semi-Annual Project Status Report Q1/Q2 submitted	October 31, 2018-2021
Semi-Annual Project Status Report Q3/Q4	Semi-Annual Project Status Report Q3/Q4 submitted	April 30, 2018-2021
Final Project Report	Final Report submitted	April 30, 2022



BOARD REPORT

SESSION:

Public ☒
Non-Public

ACTION REQUESTED:

Decision ☒
Discussion/Direction
Information ☐

Financial Impact ☒ Yes ☐ No

Included in Budget ☐ Yes ☒ No

TO: Board of Governors

DATE: June 27, 2018

FROM: Nigel Allen, Chair of Audit & Finance Committee &

Stephanie Chow, Chair of Investment Committee

SLT LEAD: Craig Elliott

SUBJECT: Statement of Investment Policies - Market Neutral Equity Strategy

COMMITTEE/BOARD MANDATE:

- The Audit & Finance Committee is responsible for overseeing the financial affairs of the university with respect to all auditing, financial reporting and internal systems and control functions, budget approvals, risk management, and other internal and external audit functions and activities at the university.
- Section 2.1 of the Statement of Investment Policies (SIP) establishes that one of the Board's responsibilities is to receive the Audit & Finance Committee's recommendations with respect to the SIP and approve or amend that SIP as appropriate.
- In accordance with section 2.2 of the SIP, the Audit & Finance Committee will receive the Investment Committee's recommendations with respect to the SIP, as well as review and approve recommendations of the Investment Committee with respect to the investments within the Fund, and recommendations to amend the Asset Class Management Procedures.
- Section 2.3 of the SIP stipulates that the Investment Committee will have an active role to formulate recommendations to the Audit & Finance Committee regarding the investments in the Fund.
- The Audit & Finance and Investment Committees are recommending amendments to the SIP in order to take advantage of the benefits of the market neutral equity (MNE) strategy. This report outlines the amendments needed to the

current SIP to allow the portfolio manager to invest in an MNE fund and for the Investment Committee to make timely recommendations regarding portfolio allocations.

BACKGROUND/CONTEXT & RATIONALE:

- At the recent Investment Committee meeting in May 2018, our Investment Manager recommended the adoption of an MNE strategy in the UOIT portfolio. An MNE strategy reduces market risk, as the return is based on stock selection rather than being correlated with any overall equity market return. This also provides greater downside risk protection when markets are in decline. MNE portfolios allow the option of selling stocks short, which increases the flexibility of the Investment Manager to utilize both long and short strategies to enhance performance. An MNE strategy would be most beneficial to UOIT during periods of poor equity performance and low fixed income returns.
- If an MNE fund is added, the recommendation from our Investment Manager is that it comprise 10% of our overall portfolio. We would reduce Canadian Equities to accommodate the new fund.
- The fees for the MNE portfolio would be 9 bps higher than current, equating to a \$3K increase on a 10% allocation.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- Positive performance from our investment returns provide funds for student scholarships and bursaries each year

CONSULTATION:

- Our Investment Manager has recommended the addition of an MNE fund at this time because of the anticipated slowdown in equity returns in 2019/20 and continued low interest rates impacting bond performance. Also, our portfolio has reached the \$25M plateau and would benefit from more diversified sources of returns.

COMPLIANCE WITH POLICY/LEGISLATION:

- The Audit & Finance and Investment Committees are recommending the attached changes to the SIP that would allow investment in MNE funds, and enable the Committee to make timely recommendations on portfolio allocations for approval by the Audit & Finance Committee. See "Appendix A" with the modification shown in the markup. Changes to the SIP are summarized as:
 - Sections 5.3 changed to reflect the allowance of derivatives for short selling.
 - Section 6.1 removed the Strategic Target column, as this restricts the Investment Committee from making timely portfolio recommendations for approval by the Audit & Finance Committee. Strategic Target allocations are captured in the Asset Class Management Procedures.
 - Section 6.4 removed item (d) as this would not allow short selling in equities which is the premise for MN equities.
- The Investment Committee will determine, with the advice of the Investment Manager, when to execute the investment in an MNE fund and will bring the recommendation to the Audit & Finance Committee for approval. As such, asset allocations will not change immediately.

NEXT STEPS:

- Assuming the Board of Governors approves the amendments to the SIP to allow use of Market Neutral Equity strategies in the UOIT portfolio, C. Elliott will notify the Investment Manager of the amendments.

MOTION FOR CONSIDERATION:

That pursuant to the recommendations of the Investment Committee and the Audit and Finance Committee, the Board of Governors hereby approves the amendments to the SIP, as presented, to allow future investment in Market Neutral Equity funds and enable timely recommendations by the Investment Committee regarding portfolio allocations.

Appendix A



Classification	10.1
Framework Category	Legal, Compliance and Governance
Approving Authority	Board of Governors
Policy Owner	Chief Financial Officer
Approval Date	June 29, 2016
Review Date	June 2018
Supersedes	Statement of Investment Policies, March 2015

Statement of Investment Policies

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1.0 Purpose

The purpose of this Statement of Investment Policies ("SIP") is to define the management structure governing the investment of non-expendable (endowed) University funds, and to outline the principle objectives and rules by which assets will be managed. The assets will be managed in accordance with this Statement and all applicable legal requirements. Any investment manager ("Manager") or any other agents or advisor providing services in connection with assets shall accept and adhere to this Statement.

2.1 RESPONSIBILITIES

2.1 Board of Governors

The Board of Governors ("the Board") of UOIT has responsibility and decision-making authority for these assets. The Board has the responsibility to govern these assets and has chosen to appoint members of the Audit and Finance Committee to sit on the Investment Committee.

As part of its fiduciary responsibilities, the Board will:

- appoint members of the Investment Committee in consultation with the Audit and Finance Committee;
- receive the Audit and Finance Committee's recommendations with respect to Statement of Investment Policies and approve or amend the Statement as appropriate;
- review all other recommendations and reports of the Audit and Finance Committee with respect to the Fund and the selection, engagement or dismissal of professional investment managers, custodians and advisors, and take appropriate action.

2.2 Audit & Finance Committee

As part of its fiduciary responsibilities, the Audit and Finance Committee will:

- receive the Investment Committee's recommendations with respect to Statement of Investment Policies and make recommendations to the Board for the selection, engagement or dismissal of professional investment managers, custodians and advisors, as appropriate;
- review all other recommendations and reports of the Investment Committee, including recommendations with respect to the investments within the Fund, and recommendations to amend the Asset Class Management Procedures and approve such recommendations and receive such reports.

2.3 **Investment Committee**

The Investment Committee (the Committee") consists of a minimum of three (3) members and a maximum of five (5) members.

The Committee may delegate some of its responsibilities to agents or advisors. In particular, the services of a custodian (the "Custodian") and of one or more investment managers (the "Manager") may be retained.

The Investment Committee will have an active role to:

- formulate recommendations to the Audit and Finance Committee regarding the investments in the Fund;
- maintain an understanding of legal and regulatory requirements and constraints applicable to these assets;
- review this Statement of Investment Policies and the appended Asset Class Management Procedures, on an annual basis, and make appropriate recommendations to the Audit and Finance Committee;
- provide regular reports to the Audit and Finance Committee;
- formulate recommendations to the Audit and Finance Committee regarding the selection, engagement or dismissal of professional investment managers, custodians and advisors.
- oversee the Fund and the activities of the Manager, including the Manager's compliance with their mandate and the investment performance of assets
- ensure that the Manager is apprised of any amendments to their mandate; and
- inform the Manager of any significant cash flows.

2.4 **Investment Manager(s)**

The Manager is responsible for:

- Selecting securities within the asset classes assigned to them, subject to applicable legislation and the constraints set out in this Statement;
- Providing the Committee with quarterly reports of portfolio holdings and a review of investment performance and future strategy and recommending appropriate changes to the investment portfolio; (see Section 7 on "Reporting and Monitoring");
- Attending meetings of the Committee at least once per year to review performance and to discuss proposed investment strategies;

- Informing the Committee promptly of any investments which fall outside the investment constraints contained in this Statement and what actions will be taken to remedy this situation; and
- Advising the Committee of any elements of this Statement that could prevent attainment of the objectives.

3.0 PORTFOLIO OBJECTIVES

3.1 Investment Policy

The Investment Policy outlines UOIT's investment objectives and risk guidelines. Investment objectives are defined in the context of Total Return which is defined as the sum of income and capital gains from investments.

3.2 Investment Objectives

The overall investment objective is to obtain the best possible total return on investments that is commensurate with the degree of risk that UOIT is willing to assume in obtaining such return. In general, UOIT investment decisions balance the following objectives:

- generate stable annual income for the funds' designated purpose;
- preserve the value of the capital;
- protect the value of the funds against inflation; and
- maintain liquidity and ease of access to funds when needed

Stable annual incomes are an essential part of the disbursement process, and facilitate the forecast of spendable income each year. The investment object for non-expendable (endowment) funds is to generate a total return that is sufficient to meet obligations for specific purposes by balancing present spending needs with expected future requirements. The total return objective must take into consideration the preservation of endowment capital, and the specific purpose obligations according to donor wishes.

All endowment funds are to be accumulated and invested in a diversified segregated or pooled fund of Canadian and foreign equities and fixed income securities. These funds must be structured to optimize return efficiency such that the return potential is maximized within the organization's risk tolerance guidelines. The Manager is expected to advise the Committee in the event that the pooled fund exhibits, or may exhibit, any significant departure from this Statement.

4.0 GENERAL GUIDELINES

The University uses the investment pool method, except that in those instances where funds are precluded under agreement or contract from being pooled for investment

purposes. The acquisition of specific investment instruments outside of authorized investment pools, requires the approval of the Chief Financial Officer and one of either President or VP External Relations.

All securities shall be registered in the University Of Ontario Institute Of Technology's name; or in the name of a financial institution that is eligible to receive investments under the University Of Ontario Institute Of Technology's Investment Policy.

The University may or may not directly or internally manage any portion of its endowed funds.

External investment managers and/or advisors shall be selected from well-established and financially sound organizations which have a proven record in managing funds with characteristics similar to those of the University.

The University shall maintain separate funds in the general ledger for endowment fund donations. Within these funds, the University shall maintain accurate and separate accounts for all restricted funds.

Investment income, capital gains and losses on the sale of equities and securities, and the amortization of premiums and discounts on fixed term securities earned on endowment funds accrue to the benefit of the endowment accounts and are distributed to capital preservation, stabilization and distribution accounts annually.

5.1 **AUTHORIZED INVESTMENTS**

5.2 **Investment Criteria**

Outlined below are the general investment criteria as understood by the Committee. The list of permitted investments includes:

(a) Short-term instruments:

- Cash;
- Demand or term deposits;
- Short-term notes;
- Treasury bills;
- Bankers acceptances;
- Commercial paper; and
- Investment certificates issues by banks, insurance companies and trust companies.

(b) Fixed income instruments:

- Bonds;
- Debentures (convertible and non-convertible); and
- Mortgages and other asset-backed securities.

(c) Canadian equities:

- Common and preferred stocks;
- Income trusts; and
- Rights and warrants.

(d) Foreign equities:

- Common and preferred stocks;
- Rights and warrants; and
- American Depositary Receipts and Global Depositary Receipts.

(e) Pool funds, closed-end investments companies and other structured vehicles in any or all of the above permitted investment categories are allowed.

5.3 Derivatives

The Fund may use derivatives, such as options, futures and forward contracts, for hedging purposes, to protect against losses from changes in interest rates and market indices; and for non-hedging purposes, as a substitute for direct investment.

Up to 15% of the Fund may be invested in strategies that use derivatives to engage in short selling.

Deleted: The Fund must hold enough assets or cash to cover its commitments under the derivatives. The Fund cannot use derivatives for speculative trading or to create a portfolio with excess leverage.

Deleted: .g

5.4 Pooled Funds

With the approval of the Committee, the Manager may hold any part of the portfolio in one or more pooled or co-mingled funds managed by the Manager, provided that such pooled funds are expected to be operated within constraints reasonably similar to those described in this mandate. It is recognized by the Committee that complete adherence to this Statement may not be entirely possible; however, the Manager is expected to advise the Committee in the event that the pooled fund exhibits, or may exhibit, any significant departure from this Statement.

5.5 Responsible Investing

The Board has a fiduciary obligation to invest the Fund in the best interests and for the benefit of the University.

The Board recognizes that environment, social, and governance (ESG) factors may have an impact on corporate performance over the long term, although the impact can vary by industry. Best practices suggest that incorporating ESG factors in the investment process is prudent and aligned with the University's social commitment.

Given the fact that the University uses the investment pool method, it is not practical for the Committee to directly engage individual companies on ESG related issues, either through dialogue or by filing shareholder resolutions. Subject to its primary fiduciary responsibility of acting in the best interests of the University and its stakeholders, and within the limits faced by an investor in externally managed pooled funds, the Committee will incorporate ESG factors into its investment process through the following methods:

(a) **Manager Selection and Reporting**

The integration of ESG factors in the investment process will be a criterion in the selection, management and assessment of the Manager.

The Committee will require the Manager to provide regular and annual reporting on the incorporation of formal ESG factors in the management of their portfolios.

(b) **Engagement**

Since the University does not directly invest in companies, proxy voting is delegated to the Manager. The Committee will encourage the Manager to incorporate into their proxy voting guidelines policies that encourage issuers to increase transparency of their ESG policies, procedures and other activities, and also to bring to the Committee's attention any significant exposure through the Fund to a particular company, industry or nation that is facing a material ESG issue.

6.0 RISK GUIDELINES

All investment of assets must be made within the risk guidelines established in this Statement. Prior to recommending changes in investments, the Manager must certify to the Committee that such changes are within the risk guidelines. For the purposes of interpreting these guidelines, it is noted that all allocations are based on market values and all references to ratings reflect a rating at the time of purchase, reviewed at regular intervals thereafter. In the event that the portfolio is, at any time, not in compliance with either the ranges or ratings profile established in this Statement, such non-compliance will be addressed within a reasonable time after the Manager or Committee has identified such non-compliance.

6.1 Asset Mix and Ranges

Table 6.1

Asset Class		Range
Cash & Short Term	▼	0-10%
Fixed Income	▼	20-50%
Canadian Equities	▼	20-40%
Global Equities	▼	25-45%
Market Neutral Equities	▼	0-15%

Commented [A1]: Remove Strategic Target from SIP, as it is included in the Asset Class Management Procedures

Deleted: Strategic Target

Deleted: 2%

Deleted: 3533%

Deleted: 3320%

Deleted: 3035%

Deleted: 10%TBD

Investment of assets must be within the asset classes and ranges established in Table 6.1. A more detailed breakdown of asset classes, strategic targets, ranges, and benchmarks is maintained in the UOIT Asset Class Management Procedures appended to this Statement as Appendix "A".

6.2 Cash and Cash Equivalents

Cash and cash equivalents must have a rating of at least R1, using the rating of the Dominion Bond Rating Service ("DBRS") or equivalent.

6.3 Fixed Income

(a) Maximum holdings of the fixed income portfolio by credit rating are:

Credit Quality	Maximum in Bond ¹	Minimum in Bond ¹	Maximum Position in a Single Issuer
Government of Canada ²	100%	n/a	no limit
Provincial Governments ²	60%	0%	40 %
Municipals	25%	0%	10%
Corporates	75 %	0%	10%
AAA ³	100%	0%	10%
AA ³	80%	0%	5%
A ³	50%	0%	5%
BBB	15%	0%	5 %
BB and less	20 %	0%	2 %

¹ Percentage of portfolio at market value; ² Includes government-guaranteed issues; ³ Does not apply to Government of Canada or Provincial issues

(b) Maximum holdings of the fixed income portfolio, other than Canadian denominated bonds as illustrated in 6.3 (a), by asset type:

- 20% for asset-backed securities;
- 60% for mortgages or mortgage funds;

- 20% for bonds denominated for payment in non-Canadian currency; and
 - 10% for real return bonds.
- (c) All debt ratings refer to the ratings of Dominion Bond Rating Service (DBRS), Standard & Poor's or Moody's.

6.4 Equities

- (a) No one equity holding shall represent more than 15% of the market value of the assets of a single pooled fund.
- (b) There will be a minimum of 30 stocks in each equity (pooled fund) portfolio.
- (c) No more than 5% of the market value of an equity portfolio (pooled fund) may be invested in companies with a market capitalization of less than \$100 million at the time of purchase
- (d)
- (e) Illiquid assets are restricted to 10% of the net assets of the Fund.
- (f) Emerging market holdings will not exceed 10% of the total portfolio value.
- (g) Foreign equity holdings can be currency hedged to a maximum of 50%

Deleted: No borrowing is permitted except as a temporary measure to allow orderly redemption of units.

7.1 PERFORMANCE EXPECTATIONS

7.2 Portfolio Returns

The portfolio is expected to earn a pre-fee rate of return in excess of the benchmark return over the most recent four-year rolling period. Return objectives include realized and unrealized capital gains or losses plus income from all sources. Returns will be measured quarterly, and calculated as time-weighted rates of return. The composition of the benchmark is developed from the asset mix outlined in this Statement and more specifically described in the Asset Class Management Procedures, Appendix A. In order to meet the University's disbursement requirements, investments need to earn a minimum level of income, measured over a four year rolling market cycle. The minimum recommended level is defined as the sum of the following items:

Minimum disbursement requirement	3.5%
Investment management fees	0.5%
Capital preservation amount	<u>2.0%</u>
Minimum Rate of Return	<u>6.0%</u>

Note: The disbursement requirement and capital preservation amounts will be reviewed, and updated as required.

8.0 REPORTING & MONITORING

8.1 Investment Reports

Each quarter, the Manager will provide a written investment report containing the following information:

- portfolio holdings at the end of the quarter;
- portfolio transactions during the quarter;
- rates of return for the portfolio with comparisons with relevant indexes or benchmarks; Compliance report;

8.2 Monitoring and Recommendations

At the discretion of the Committee as required, the Manager will meet with the Committee regarding:

- the rate of return achieved by the Manager;
- the Manager's recommendations for changes in the portfolio;
- future strategies and other issues as requested.

The agreement with the Manager or any Custodian will be reviewed by the committee on a four year cycle. This review could include a Request for Proposal for these services.

8.3 Annual Review

It is the intention of UOIT to ensure that this policy is continually appropriate to the university's needs and responsive to changing economic and investment conditions.

Therefore, the Committee shall present the Statement of Investment Policies to the Audit and Finance Committee, and through that Committee to the Board, along with any recommendations for changes, at least annually.

9.0 STANDARD OF CARE

The Manager is expected to comply, at all times and in all respects, with the code of Ethics and Standards of Professional Conduct as promulgated by the CFA Institute.

The Manager will manage the assets with the care, diligence and skill that an investment Manager of ordinary prudence would use in dealing with all clients. The Manager will also use all relevant knowledge and skill that it possesses or ought to possess as a prudent Investment Manager.

The Manager will manage the assets in accordance with this Statement and will verify compliance with this Statement when making any recommendations with respect to changes in investment strategy or investment of assets.

The Manager will, at least once annually, provide a letter to the Committee confirming the Manager's familiarity with this Statement. The Manager will, from time to time, recommend changes to the SIP to ensure that the SIP remains relevant and reflective of the University's investment objectives over time.

10.0 CONFLICT OF INTEREST

All fiduciaries shall, in accordance with the UOIT Act and By-laws and policies on conflict of interest, disclose the particulars of any actual or potential conflicts of interest with respect to the Fund. This shall be done promptly in writing to the Chair of the Investment Committee. The Chair will, in turn, table the matter at the next Board meeting. It is expected that no fiduciary shall incur any personal gain because of their fiduciary position. This excludes normal fees and expenses incurred in fulfilling their responsibilities if documented and approved by the Board.

June 27, 2018

Dear Governors,

Re: 2018 Annual Risk Management Report to the Board

The Board of Governors is responsible to ensure that UOIT engages in effective risk management. With a view to enabling the Board and Audit and Finance Committee to assess the University's progress, we are pleased to present this third Annual Report on University Risk Management (URM) first to the Audit and Finance Committee of the Board and then to the Board of Governors, as a whole.

PROGRESS IN 2017-18

In this report, we are pleased to report that UOIT continues to make progress toward the integration of risk into its decision-making and planning processes. The following is a summary of the positive developments in the risk management culture in the period July, 2017 to June, 2018:

- The Board remains committed to the development of a risk culture at UOIT and the Audit and Finance Committee received several reports on the progress of risk management this year;
- The new President has quickly agreed to expand the scope of risk management to include consideration of opportunities and the cost of lost opportunities. This means that when the University considers risk, it does so with the understanding that a strategic approach to risk will drive enhanced university performance;
- Dr. Murphy also quickly organized an SLT retreat to accelerate progress on the development of a list of strategic risks. The Board Retreat also focused on strategic risks and this will be the focus of continued work in 2018-19.
- The University has continued to evolve and develop risk processes and tools, and has engaged in training.
- The Audit and Finance Committee finalized risk management metrics and management presented a first set of tracked metrics. Initially these metrics will be measured year over year. In the future, we will look to benchmark against other institutions.
- The SLT approved a clear High and Extreme risk process. The SLT reviewed, edited, ranked and finalized a list of high operational risks.
- The University risk register has been finalized and includes twenty (20) functional area registers.
- With the support of the Provost, the AVP Planning and the CFO, the process for considering and including risk considerations in the budgeting process continues

to evolve and risk considerations are shaping budget priorities. There is more work to be done.

- The Risk Management Committee has met regularly and continues to be an important contributor to the University Risk Management process.
- The Risk Management website continues to be improved with a view to providing tools to assist the UOIT community to better manage risk.

AREAS FOR FOCUS IN 2018 AND BEYOND

The following areas will be important for the Board of Governors to monitor:

Resourcing: The Director of Risk Management continues to be the sole resource supporting the risk management process. This affects the ability of the Director to support the institution as it moves ahead to develop a risk management culture.

At the present time, while URM-related goals and objectives are embedded within the goals and objectives of some employees, this is not a widespread practice. SLT has agreed to ensure that URM goals are added to the responsibilities of those employees assigned by SLT to carry them out.

Strategic Risks: Great progress has been made to consider and develop a perspective on those risks that have the potential to interfere with the University's ability to execute against its strategic plan. A focus in the coming year is on further clarifying that perspective and assigning responsibility for monitoring and responding to those risks.

Foundational Risks: Two foundational risks were identified in the 2018 risk review process: and; 1) Financial Sustainability, and; 2) Compliance and Controls – increased regulatory accountability and scrutiny, contracting and related processes, and increasing litigation. Financial Sustainability continues to be a focus of the the budgeting process. However, on the compliance side, although we have seen increased compliance requirements, minimal mitigation measures have been identified and the potential for non-compliance with legal obligations continues to pose risk to UOIT. It is noteworthy that a previous foundational risk - Major Disruption to Operations – crisis response and business continuity, is being addressed as we made some progress in business continuity planning in the 2017-18 year.

Conclusion: UOIT has this year made significant advances and has again continued to move the University Risk Management yardstick forward. There is a stronger “tone at the top” in support of risk activities. Sustained focus is required to successfully implement and most importantly to build a university that integrates effective risk assessment and management into its decision-making and planning processes. I'll finish again with the line - “We know that creating change in risk management culture can take

up to fifteen years”. In our fourth year, we made very good progress. The most significant impediment to sustained focus on URM is limited resources and increasing workload within the Office of Risk Management and across the university.

Sincerely,



Cheryl Foy
University Secretary and General Counsel
Chief Risk Officer



ANNUAL UNIVERSITY RISK MANAGEMENT REPORT

June 27, 2018

Prepared by:
Cheryl A. Foy, Chief Risk Officer
Jackie Dupuis, Director of Risk Management
Reviewed by the Risk Management Committee

Special Acknowledgement – Elaine Wannamaker

In this year's Annual Risk Report, it is important to acknowledge and thank Elaine Wannamaker who retired as Director of Risk Management in this year after many years of dedicated service. Elaine remained with UOIT for several months after her retirement to ensure a smooth transition and training for the new Director of Risk Management. Elaine has been instrumental in the development and implementation of the University Risk Management initiative at UOIT. It is with great gratitude that we acknowledge Elaine's incredible dedication and professionalism and wish her the best in her next chapter.

2018 UNIVERSITY RISK MANAGEMENT REPORT

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PART I - INTRODUCTION

The UOIT Board asked the President to develop and implement a University Risk Management (URM) program at UOIT. The President has assigned this responsibility to the University Secretary and General Counsel (USGC). Pursuant to the UOIT ***Risk Management Policy*** (“RM Policy”, Appendix A), the USGC is designated as the Chief Risk Officer.

The long-term goal for risk management is that UOIT develop a culture of Risk Ownership. The RM Policy states:

UOIT is committed to fostering a culture of risk-ownership throughout the University. This does not mean that we avoid engaging in activities that have risks or that we avoid risk in our teaching and research and other activities we undertake for the University. It is recognized that both strategic and operational decisions and the work undertaken by faculty, staff and employees, all inherently involve risk.

To UOIT, having a culture of Risk Ownership means that:

- i) Strategic and operational decisions are made with full awareness of the risks relevant to those decisions;
- ii) All members of the UOIT community are aware of the organization’s emphasis on URM and incorporate a proactive approach and awareness to managing risk in their individual roles¹.

As at June, 2018, UOIT has engaged in a number of activities designed to continue to lay the foundation for the development of a culture of Risk Ownership.

¹ UOIT Risk Management Policy, section 7, “Statements of Principle”.

2018 UNIVERSITY RISK MANAGEMENT REPORT

PART II – PROCESS AND STATUS**1. HISTORICAL OVERVIEW**

UOIT is in its fourth year of developing and implementing a risk management program. The table below summarizes the key milestones achieved.

DATE	MILESTONES ACHIEVED
JUNE 2014	<ul style="list-style-type: none"> • Board of Governors approved UOIT's first Risk Management Policy after extensive consultation and discussion
JUNE 2015	<ul style="list-style-type: none"> • Clarified risk roles and responsibilities • Consultation process with University academic and administrative leaders • Established Terms of Reference for Risk Management Committee • Developed Risk Tools • Approved a Risk Management Work Plan
JUNE 2016	<ul style="list-style-type: none"> • University-wide consultation process (>100 employees) to develop a grass roots and top down preliminary view of University risks • Twenty-four (24) first draft Risk Registers prepared • Developed five risk categories and identified twenty-one risk drivers • First Annual Risk Management Report presented to the Board
JUNE 2017	<ul style="list-style-type: none"> • Developed a set of draft Risk Registers for the University • Analyzed, synthesized and organized all risks resulting in a lower number of risks • Clarified the process for Risk Owners and developed a reporting structure • Integrated URM into strategic and planning processes • Second Annual Risk Management Report presented to the Board
JUNE 2018	<ul style="list-style-type: none"> • Developed a Risk Register process document • Facilitated risk management training sessions to new Risk Owners and members of the university • Finalized twenty (20) Risk Registers • Developed a draft set of strategic risks • Finalized risk management metrics and presented first set of tracked metrics for risk management • Defined a clear High and Extreme risk process and a list of High and Extreme Risks. • Third Annual Risk Management Report presented to Board

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2. HOW DOES THE BOARD MEASURE URM PROGRESS?

As established in the UOIT first Annual Risk Report dated June, 2016, and as approved by the Board, UOIT committed to providing this report annually to assist the Board in assessing the progress of the University Risk Management process. To that end, the Board adopted the following six measures of progress as recommended by The Association of Governing Boards, in partnership with United Educators²:

Measure 1: Each year UOIT should be able to demonstrate to the Board how UOIT has sustained URM as a priority.

Measure 2: Each year the Board should check on the leadership of URM and verify that URM is an important objective for that leader.

Measure 3: Each year the Board should engage in a discussion of the top strategic and operational risks facing the University and should understand how they are managed and monitored.

Measure 4: The Audit & Finance Committee should include risk management discussions on its work plan. The Board should devote time at one meeting annually to discuss the major risks facing the institution.

Measure 5: UOIT should continue to engage in ongoing orientation and Board training sessions including information about risks to the institution.

Measure 6: Each year the Board should be asked to comment on and assess the URM and the success (or not) of the stated URM goals and objectives. Generally, the Board should be satisfied that the URM is effectively identifying and enabling the management and mitigation of the major risks facing UOIT.

The remainder of this Report is intended to allow the Board to assess UOIT's 2017-2018 progress in University Risk Management as against the adopted measures described above.

3. MEASURING 2017-2018 PROGRESS:**a. Measure 1 – How has UOIT Sustained URM as a Priority?**

UOIT has made good efforts to sustain URM in the current resource-constrained environment: Success in embedding URM into a UOIT's culture is evidenced by the integration of URM into strategic and planning processes. Integrated URM fosters the desired risk-informed

² From "A Wake-up Call: Enterprise Risk Management at Colleges and Universities Today", A Survey by the Association of Governing Boards of Universities and Colleges and United Educators, 2014, pp. 3 to 10 (Much of the language above is directly quoted from this document).

2018 UNIVERSITY RISK MANAGEMENT REPORT

culture across the University. Clearly defined structure, roles and accountability are critical to the success of the implementation.

In 2017-18, UOIT has made progress against the goals assigned in 2017-18:

i. Final UOIT Risk Register

Excellent progress has been made toward the completion of the final UOIT register for 2017-18. Final registers are in place for most Risk Owners and summaries of most of the registers by Risk Owner have concluded. The remaining registers categorized as being new registers in 2017-18 or with recent changes to risk register ownership in 2017-18, are on pause for the current reporting year, with the expectation the risks identified will continue to be managed and mitigated as defined under the new Risk Owner process document.

Continued Simplification and Synthesis: Since the risk team first cast a wide net to identify operational risks in 2015, work has been done to identify risk patterns, categories and overlaps. This has resulted in fewer listed risks. In continuation of the simplified exercise developed in 2016-17, the risks in 2017-18 are categorized as follows:

Risk Domain	Reported Risks 2015-16	Risks after Synthesis and Reorganization	2017-18 Synthesized Risks
Operational	165 draft risks	57 draft risks	39 Risks
Financial	36 draft risks	13 draft risks	7 Risks
Reputational	12 draft risks	3 draft risks	3 Risks
Compliance	40 draft risks	18 draft risks	10 Risks
Total:	253	91	59

Of the fifty-nine (59) risks identified, fifty (50) of these risks were calculated as Medium, and nine (9) as High or Extreme. Low risks are considered local to the operation and, therefore, not included in the Annual Risk Management Report for 2018. A summary of the themes arising from the Medium Operational Risks identified by Risk Owners is included as Appendix H.

Over the 2017-18 term, twenty-two control (22) strategies and sixty (60) mitigation strategies were added to the registers in an effort to prevent, reduce, mitigate, or resolve risk at the University.

Risk or Constraint?

Space: UOIT is also evolving the definition of risk to include only those situations which are **uncertain**. During the review process a risk identified by a number of Risk Owners was; “*risk associated with space limitations*”. This corporate wide risk was escalated for review to the Senior Leadership Team (SLT), and after careful consideration, it was determined that a lack of space was considered a known and not an uncertainty. As such “lack of space” related risks will

2018 UNIVERSITY RISK MANAGEMENT REPORT

be treated as known-operating constraints, and managed as such by the UOIT Space Working Group.

Budget and Resources: Similarly, risks identified as relating to insufficient budget or resources are also known and are not as such uncertain. SLT has agreed to categorize these risks as constraints to be assigned to the Budget Working Group for management.

Each of the Space and Budget Working Groups is working on a process to ensure that Risk Owners are annually able to make submissions on the impact of these constraints on their ability to achieve objectives.

New and Emerging Risks: New risks identified for the 2018-19 term were not considered for this report, however will continue to be mitigated and managed as defined under the new Annual Process for Risk Owners document, Appendix C.

High and Extreme Risk Reporting and Process: High and Extreme risks identified during the Risk Register review in 2017-18 were collectively vetted through SLT in an effort to obtain consensus, confirm accuracy, and identify potential gaps. In the 2017-18 year, a High and Extreme Risk Register was developed and reviewed by SLT, finalizing seven (7) High risks, and two (2) Foundational risk to the University. The process for high and extreme risks is set out under Appendix E. This process demonstrates SLT's support and their continued commitment to the implementation of URM, and oversight of their respective areas of authority.

The List of High Risks: No Extreme Risks were identified. Of the seven (7) High, risks identified, each risk level was calculated and determined to be equal at a risk factor of twelve (12). The seven (7) High risks were captured as follows:

Risk Owner: University Secretary and General Counsel

- Risks associated with information governance;
- Risks associated with an increasingly litigious environment;
- Risks associated with disruption causing impairment to the University's operation and Information Technology's (IT) infrastructure;
- Risks associated with failing to negotiate, manage, and implement contracts.

Risk Owner: External Relations and Advancement

- Risks associated with effective partnership management.

Risk Owner: Human Resources

- Risks associated with a lack of training and support for front line staff addressing mental health issues.

Risk Owner: All Faculties and ACE

- Risks associated with equipment failure, requiring replacement or repair.

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Foundational Risks: In addition, the two (2) Foundational risks facing the University were determined as **Compliance**, owned by the University Secretary and General Counsel, as well as **Financial Sustainability**, owned by Finance.

ii. Education and Training

The risk team made great progress in education and training. During the Risk Register review, all Risk Owners and SLT members were trained on the defined Annual Process for Risk Owners document new to the Risk Register review for 2017-18. Risk Register training and education was facilitated by the risk management team to new Risk Owners and new leadership authorities of the University. In addition, those charged with supporting risk within their respective areas received additional training on risk identification and assessment on activities such as travel, on/off campus events, and placement injury process, and insurance.

Great progress was made in enhancing the risk management portion of the UOIT web page. A major focus of education and training continues to be around the development and enhancement of the risk management section of the web page. The objective of the website is to provide the University with information and tools to support their engagement in URM. The website is populated with information about risk management and insurance, has links to tools and resources, and will continue to grow with additional information and tools. This measurement will continue to be a priority focus in 2018-19. The site address is:

<https://usgc.uoit.ca/risk-management/index.php>.

The Director of Risk Management supported the University in 2017-18 by providing general advice on 244 requests, attended 34 risks management specific meetings, and facilitated 153 risk management training sessions across the University.

iii. Finalization of the List of Strategic Risks

There have been excellent discussions related to strategic risks for the university in 2017-18. UOIT retained Marsh Canada Inc. to facilitate the SLT's and Board's work to develop and discuss the key strategic risks facing UOIT. Twelve (12) strategic risks were collaboratively identified 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 SLT will continue to work on the strategic risks as a priority in 2018-19. Attached as Appendix G is Strategic Risk Map.

iv. Annual University Risk Management Report

This Annual University Risk Management Report dated June 27, 2018, fulfils this objective.

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v. Senior Leadership Team

The SLT is charged with setting the appropriate “tone at the top” to support risk management. The news here is very positive. The University’s new President came out early to publicly reinforce his commitment to risk management. He has identified risk management as strategic and an integral role to the University’s core success and sustainability. This new approach has further invigorated the risk management process and has resulted in engaged risk discussions at SLT with the result that the SLT has adopted a more comprehensive definition of risk to include lost opportunity.

SLT continued to oversee the completion of the Risk Registers in 2017-18 and there has been very good cooperation from the SLT in this regard. It is noteworthy and important that, under the leadership of the Provost (Interim), the Deans as a group have been particularly supportive. The Provost (Interim) and the AVP Planning, alongside the University Deans, carried out a meeting with the risk management team in an effort to share knowledge about the risks within their areas and to discuss the escalation of some of the common risks to the assignment of the Provost for the 2017-18 term. Having support for URM within the academic leadership team is crucial to the success of URM.

As noted above, the President and SLT have played an integral role in the development of the draft list of strategic lists, and in the work to consider and vet the High risks.

vi. Risk Management Committee

The Risk Management Committee (RMC) was struck to oversee the successful integration and execution of URM with direct reporting responsibility to the Board of Governors. Committee members are chosen based on their skill set and functional knowledge. In the 2017-18 academic year, the RMC was charged with focusing on the development of metrics and integration of best practices, and in this regard, they have fulfilled this objective.

A final set of Risk Management Metrics is appended hereto as Appendix F. These metrics were recommended and approved by the Audit & Finance Committee in April 2018. The Committee requested that UOIT move toward an annual risk dashboard and we confirmed that this is planned. The Risk Management team is tracking against most of these metrics.

The Risk Management Committee has finalized a simple and effective processes to support and train Risk Owners as they assumed responsibility for their Risk Registers in 2017-18, appended hereto as Appendix C., and D.

The RMC is composed of the following individuals from across the University:

Cheryl Foy (Chair) , Jacquelyn Dupuis (Risk Management), Scott Clerk (International), Paul Bignell (IT), Jocelyn Churchill (HR), Matthew Mackenzie (External Relations), Jennifer Freeman (Research), Alison Baulk (Finance), Stephen Thickett (Student Life), Tyler Frederick (FSSH), Connie Thurber (FHS) and Lori May (F.Ed).

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In 2017-18, the RMC met five times.

b. Measure 2: Does URM have an Assigned Leader?

URM is assigned to the University Secretary and General Counsel, a vice president who reports to the President. Advancing URM was a primary objective in 2017-18 and will continue as a top priority for the University Secretary and General Counsel.

c. Measure 3: Has the Board discussed the top strategic and operational risks facing the University?

Excellent progress has been made against this measure in this past year. The Board spent a day and a half at its annual Board Retreat discussing strategic risks and two foundational risks: Compliance and Financial Sustainability.

d. Measure 4: URM is a part of A&F work plan and Board annual discussion

URM is a part of the 2017-18 Audit & Finance Work Plan. There are regular discussions/reports on risk management as noted in the attached.

The Audit and Finance Committee received reports on risk in October 2017, November 2017, February 2018, April 2018, and June 2018. The Board has received reports and has been involved in risk management discussions in October 2017 and March 2018. The Board recently engaged in discussions surrounding strategic risks at the Annual Board Retreat in May 2018.

e. Measure 5: Has UOIT provided Board training sessions about University risk?

In addition to the general discussions about risk, Board professional development sessions typically focus on risk areas for the University. In the 2017-18 year, training and analysis was presented on cyber liability, outlining what the university identified as a gap in coverage. The Board was also involved in discussions surrounding the University's 5-year insurance plan, expanding on the policies currently in place as well as discussions relating to the insurance carrier and the benefits of their service. In addition, practical training on strategic risks recently took place, introducing the Board to the importance of understanding strategic risk, risk specific questions to ask, as well as roles and responsibilities .

f. Measure 6: Board assessment of URM Activity

At the Annual General Meeting (AGM) each year, the Board receives an annual report and is asked to comment on the progress of URM. The purpose of this 2018 report is to secure the Board's comment and direction on URM progress in 2017-18.

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PART III – GOING FORWARD**4. 2018 – 2019 GOALS AND OBJECTIVES**

Advancement of the goal of embedding URM into a higher education culture is evidenced by the integration into strategic and planning processes. Integrated URM will foster the desired risk-informed culture across the University. Clearly defined structure defines accountability and is critical to the success of the implementation. In order to have clearly defined structure, there needs to be clearly defined responsibilities.

The focus in for 2018-19 objectives is in two areas:

1. Strategic and Foundational Risks:
 - a. The assignment and development of risk mitigation strategies for the list of strategic and foundational risks identified;
 - b. The development of a process to map operational risks to strategic risks;
2. Risk Management Implementation:
 - a. Continue to support Risk Owners in the management and mitigation of risk;
 - b. Continue to support Risk Owners reporting on risk work;
 - c. Design and implementing additional processes and tools to assist Risk Owners, and;
 - d. Finalize the new Risk Registers/Registers not finalized because new Risk Owners recently hired.

Office of Risk Management (Chief Risk Officer and Director of Risk Management)
Develop and implement an annual repeatable process to work with Risk Owners to manage their risks and maintain their registers.
Education and Training through maintenance and enhancement of the Risk Management Website; Continue to facilitate risk management training sessions relating to implementation of URM; Develop Frequently Asked Questions and procedural documents to increase support, risk understanding and expectations
Support SLT and Board to determine next steps with strategic risks
Develop related policies identified as Foundational Risks to the University through the Risk Register review process
Prepare the 2018-19 Annual Risk Report to the Board and Audit and Finance Committee
Develop Insurance Work Plan
Continue to monitor and record the Metrics of the University
Work with Academic Council to scope its potential role in risk management

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Senior Leadership Team

Set the Tone at the Top – Continue to demonstrate support for the implementation of URM

Continue to oversee the implementation of risk management within their areas and ensure commitment to reporting risk activity

Continue to engage in discussion of Strategic Risks and Strategic Risk Management through identification of Risk Owners, and mitigation activities, in order to finalize the Strategic Risk Plan,

Report to the Board on the Management of the Strategic and Operational Risk Plan

Risk Management Committee

Conduct regular meetings to discuss risk and risk management, and focus on the integration of risk management best practices

5. CONCLUSION

Please refer to the letter of the Chief Risk Officer for the summary and highlights of this Report.

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Appendix A. - Risk Management Policy

Classification	LCG 1116
Framework Category	Legal, Compliance & Governance
Approving Authority	Board of Governors
Policy Owner	University Secretary
Approval Date	June 18, 2014
Review Date	June 2017
Supersedes	N/A

RISK MANAGEMENT POLICY

PURPOSE AND OBJECTIVES

1. **PURPOSE:** The purpose of this policy is to establish the foundation for an Enterprise Risk Management (“ERM”) program which ensures that risk management is an integral part of UOIT’s core strategy and integrated into all key activities and/or functions. The ERM program establishes a risk management framework which will provide a proactive and consistent approach to ensuring that risk is considered when decisions are made at all levels of the organization and, in turn, assists UOIT to operate within its capacity and willingness to take risk. The ERM program further establishes a commitment to raise awareness surrounding risk management and provide guidance to all levels of the University.

OBJECTIVES: The overall objectives of the Risk Management Policy are to:

- Formalize a consistent approach to identifying, assessing, measuring, managing communicating and mitigating risks to UOIT’s strategic plan and priorities and to UOIT’s operations in an effort to reduce uncertainty
- Assist UOIT to make better informed decisions and promote accountability for risk management with stakeholders and staff at all levels

DEFINITIONS

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

“Enterprise Risk Management (“ERM”)” means a consistent, coordinated, integrated approach to identify, assess, measure, manage, communicate and mitigate significant and material risks to UOIT achieving its strategic objectives

“Risk” means the uncertainty of outcomes against planned objectives. This concept can be applied to strategic objectives as well as all operational activities within the University. While the application of the definition may change with different stakeholders, the concept should not change.

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“Risk Assessment” means a formalized, systematic ranking and prioritizing of identified risks, using an impact/likelihood framework

“Risk Appetite” means UOIT’s willingness to accept risk. Risk appetite may also be viewed as the acceptable deviation from expected outcomes.

SCOPE AND AUTHORITY

3. Scope

This policy and the associated documents will describe the specific responsibilities for those groups and individuals expected to support the implementation and maintenance of the ERM program. In addition, all members of the UOIT community are expected to support the management of risk and the success of the ERM program at UOIT.

4. Risk Framework

Effective risk management across the institution will result in increased stability, safety and security and prosperity for key stakeholders (faculty, staff, students etc.). This policy and the associated documents create the risk management framework developed specifically to fit the governance structure and culture of UOIT. The framework is aligned with the strategic priorities of the University and incorporates leading practices, tailored to UOIT’s needs and culture.

The framework is intended to support UOIT in identifying, assessing, measuring, managing, reporting and mitigating significant and material risks. The ultimate goal of the framework is to assist UOIT in achieving its strategic priorities and operational objectives through better management and understanding of risk.

The framework provides:

- Formalized process and approach to executing ERM
- Clearly defined accountabilities for execution of ERM
- Improved risk management communication
- Consistency in risk management

5. Risk Governance Structure

Oversight: The responsibility to oversee UOIT’s ERM program resides with the Board of Governors of UOIT. The Finance and Audit Committee is delegated to carry out this oversight responsibility on the part of the Board and to report annually to the Board on the status of the ERM.

Direction: The President and Vice-chancellor of the University is responsible to provide direction to ensure UOIT’s strategic priorities remain the ultimate focus of key stakeholders.

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Risk Parameters: The Risk Appetite will be determined by the President and Vice-chancellor of the UOIT along with the Senior Leadership Team (SLT) and ultimately approved by the Board of Governors. The Risk Appetite will be reviewed no less than once annually.

Risk Owners:

CHIEF RISK OFFICER: UOIT shall designate a member of the SLT to serve as Chief Risk Officer. The Chief Risk Officer shall, among the members of the SLT, have responsibility for the coordination of SLT's risk management activities. The Chief Risk Officer shall act as primary advisor on risk to the Board of Governors and to the President and Vice Chancellor. The Chief Risk Officer shall serve as Chair of the University's Risk Management Committee and shall have accountability for that Committee's work.

SENIOR LEADERSHIP TEAM ("SLT"): SLT as a group is responsible for the management of all institutional and operational risks, the overall success of ERM, and the integration of ERM program into the core operational and strategic decision framework of the University. Individual members of the SLT will act as the primary owners of risks and risk management at UOIT. Each SLT member will delegate responsibility for risk management to functional leaders within that SLT member's area of responsibility.

PROVOST'S ADVISORY COMMITTEE ON INTEGRATED PLANNING ("PACIP"): PACIP will act in an advisory role in respect of various aspects of the ERM program. PACIP will work to ensure that the ERM program is integrated into the planning work of UOIT.

6. Risk Management Committee

The Risk Management Committee will hold responsibility for the successful integration and execution of the ERM framework. Operational implementation and maintenance of the ERM program will be conducted with oversight and guidance from the SLT. The Committee will also be responsible for facilitating the risk identification and assessment process at the Senior Leadership Team and Functional Leadership levels, consolidating that information and finalizing the institutional risk profile for the Board. This committee will be a skills-based committee comprised of individuals who are best able to help UOIT fulfil its ERM objectives.

7. STATEMENTS OF PRINCIPLE:

UOIT adopts the following statements of principle for application in the implementation of this policy:

- a) **Risk Culture:** UOIT is committed to fostering a culture of risk ownership throughout the University. This does not mean that we avoid engaging in activities that have risk or that we avoid risk in our teaching and research and other activities we undertake for the University. It is recognized that both strategic and operational decisions and the work undertaken by faculty, staff and employees, all inherently involve risk.

To UOIT, having a culture of risk ownership means that:

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- i) Strategic and operational decisions are made with full awareness of the risks relevant to those decisions;
 - ii) All members of the UOIT community are aware of the organization's emphasis on ERM and incorporate a proactive approach and awareness to managing risk in their individual roles.
- b) **Communication:** A key principle of a successful ERM program is regular communication. The Board and Senior Leadership Team are committed to developing a communication plan to ensure that those who require information to support the ERM program receive it. UOIT's risk management policy, goals and objectives will be made available to all employees and it will be expected that each employee reads and understands the risk management philosophy and outlined framework.
- c) **No Reprisal:** The University will not discharge, discipline, demote, suspend, threaten or in any manner discriminate against any officer or employee based on any good faith and lawful actions of such employee to responsibly and carefully report risk issues using the channels provided by the University.
- d) UOIT is committed to academic freedom.

RELEVANT LEGISLATION

8. This section intentionally left blank.

RELATED POLICIES, PROCEDURES AND DOCUMENTS

9. Risk Management Committee Terms of Reference (TBD)
 Governance and Process Figures (TBD)
 Risk Management Procedures (TBD)
 Annual Reporting Checklist (TBD)
 Such other documents as may be added by the Risk Management Committee

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Appendix B. – 2018 UOIT Risk Owners

SLT Member	Department Risk Registers	Risk Owner
Steven Murphy	*ACE	John Komar
Craig Elliott	Finance	Craig Elliott
	Office of Campus Infrastructure and Sustainability	Ken Bright
	Regent Theatre	Kevin Arbour
Cheryl Foy	University Secretary and General Counsel	Cheryl Foy
Susan McGovern	External Relations and Advancement	Susan McGovern
Doug Holdway	Research	Jennifer Freeman
Robert Bailey	*Provost's Office	Robert Bailey
	Office of Campus Safety	Tom Lynch
Brad MacIsaac	Registrar	Joe Stokes
	Learning and Innovation	Catherine Drea
	Information Technology	Paul Bignell
	Student Life	Olivia Petrie
	*Human Resources	Jamie Bruno
	*Health and Safety	Joanne Evans
	*Employee and Labour Relations Academic Affairs	Krista Secord
	Library	Catherine Davidson
ALT Members	Faculty Risk Registers	Risk Owner
	School of Graduate and Postdoctoral Studies	Langis Roy
	Business and Information Technology	Pamela Ritchie
	Education	Maurice DiGiuseppe
	Energy Systems and Nuclear Science	Akira Tokuhira
	Engineering and Applied Science	Tarlochan Sidhu
	Health Sciences	Lori Livingston
	Science	Greg Crawford
	Social Science and Humanities	Peter Stoett

*updated risk summary is not included. On pause until next Risk Management cycle in 2019

Appendix C. – Annual Process for Risk Owners

**Individual Departmental/Faculty
Risk Register
Annual Process for Risk Owners**

If you have been assigned responsibility to a risk, this document is to help you, as the Risk Owner, understand the annual risk process and steps you should follow.

1. Annual Meeting - Risk Owner meets annually with the Director, Risk Management to review and update the departmental/faculty Risk Register and to discuss risk generally.
2. Risk Review – Risk Owner conducts a risk review with those members of the department or faculty that Risk Owner identifies as key stakeholders (people involved in identifying and managing the risks).
 - a) Risks within Risk Owner control

As you are responsible for managing and mitigating some but not all of the risks you identify, you need a list of those risks that you have the ability to mitigate within your area. These are called “risks in the Risk Owner’s control”. So the next steps are to:

- i) Identify risks within the Risk Owner’s control, and;
- ii) Develop mitigation plans for these risks.

As you are identifying risks, follow these guidelines:

Low Risks – For risks that are in the “Low Risk” category the Risk Owner is responsible to monitor and mitigate these risks. There is no obligation to report on them unless they start becoming more severe. You are responsible to report an increase in low risk severity as part of the annual Risk Register review.

Medium, High or Extreme Risks – For risks in the Medium, High or Extreme Category, the Risk Owner, in consultation with their departmental/faculty stakeholders, will assign responsibility within their faculty/department for managing and mitigating identified risks. The Risk Owner should always know who is responsible for managing and mitigating the risks and should be aware of and oversee the status of the management and mitigation activities.

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b) Risks outside Risk Owner control

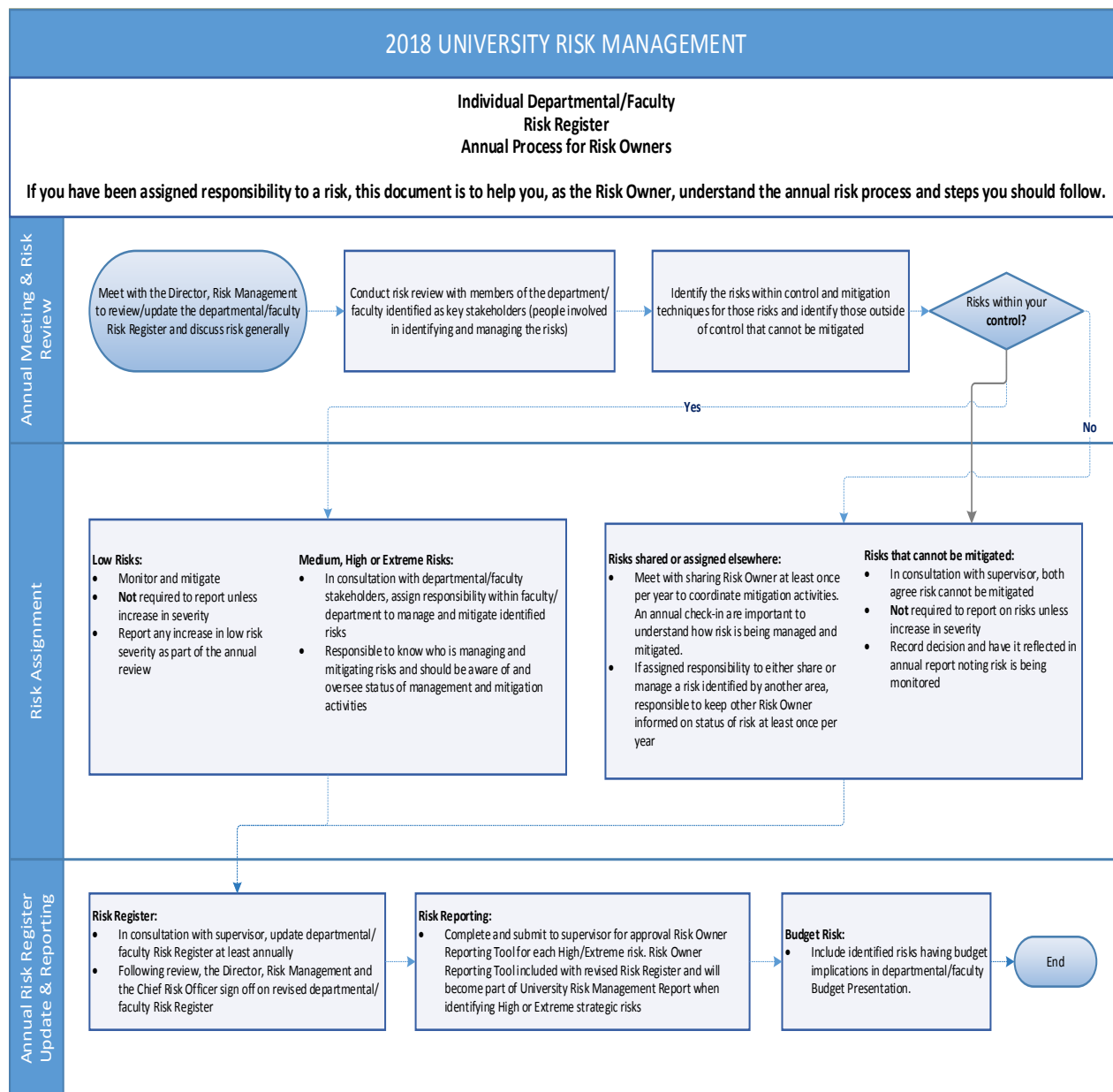
- i) Risk Owner will advise their supervisor of risks outside their ability to mitigate or risks that Risk Owner can only partially mitigate. These risks will be listed separately. The supervisor is responsible for ensuring that there is a plan in place for these risks.
 - a. **Risks that can't be mitigated:** Where the supervisor and Risk Owner agree that the risk is not one that can be mitigated, this decision should be recorded and reflected in the annual reporting noting simply that the risk is being monitored.
 - b. **Risks shared or assigned elsewhere:** Where risk mitigation is shared with another Risk Owner be sure to meet with the sharing Risk Owner at least once per year to coordinate mitigation activities. Where risk mitigation is assigned to another Risk Owner, an annual check-in is important so that you understand how the risk is being managed and mitigated. If you are assigned responsibility to either share or manage a risk identified by another area, your responsibility is to keep the other Risk Owner informed on the status of the risk at least once per year.

3. **Annual Risk Register Update and Reporting**

- ii) **Risk Register:** The Risk Owner, in consultation with their supervisor, is responsible to update the departmental/faculty Risk Register at least annually. Following the annual review both the Director, Risk Management and the Chief Risk Officer Sign off on the revised departmental/faculty Risk Register.
- iii) **Risk Reporting:** The Risk Owner is responsible to complete and submit to their supervisor for approval a Risk Owner Reporting Tool for each High or Extreme risk identified. The Risk Owner Reporting Tool will be included with the revised Risk Register and will become part of the University Risk Management Report when identifying High or Extreme strategic risks.
- iv) **Budget Risk:** The Risk Owner will include identified risks having budget implications in their departmental/faculty Budget Presentation.

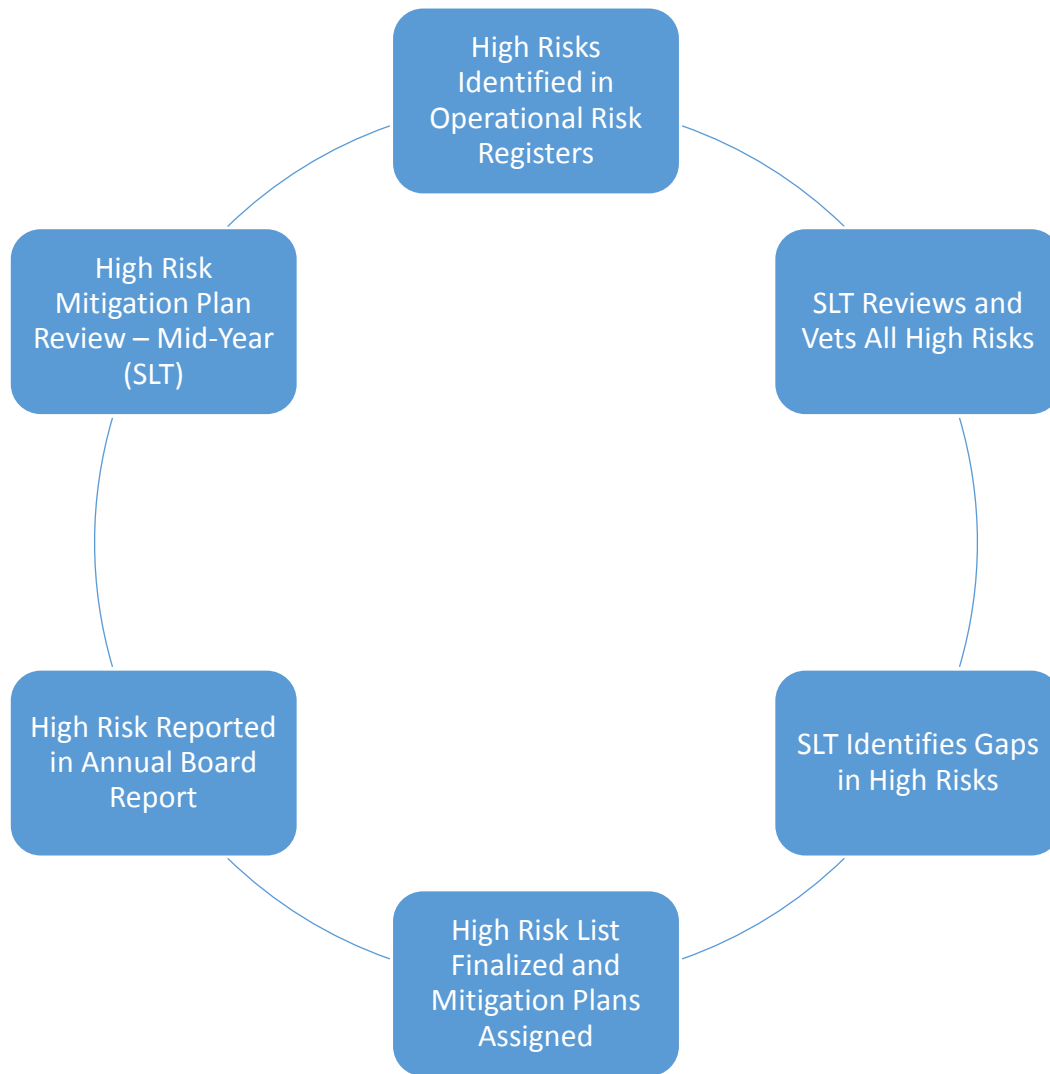
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Appendix D. – Annual Process for Risk Owners – Process Flow



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Appendix E. – High and Extreme Risk Review Cycle



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Appendix F. – Risk Management Metrics

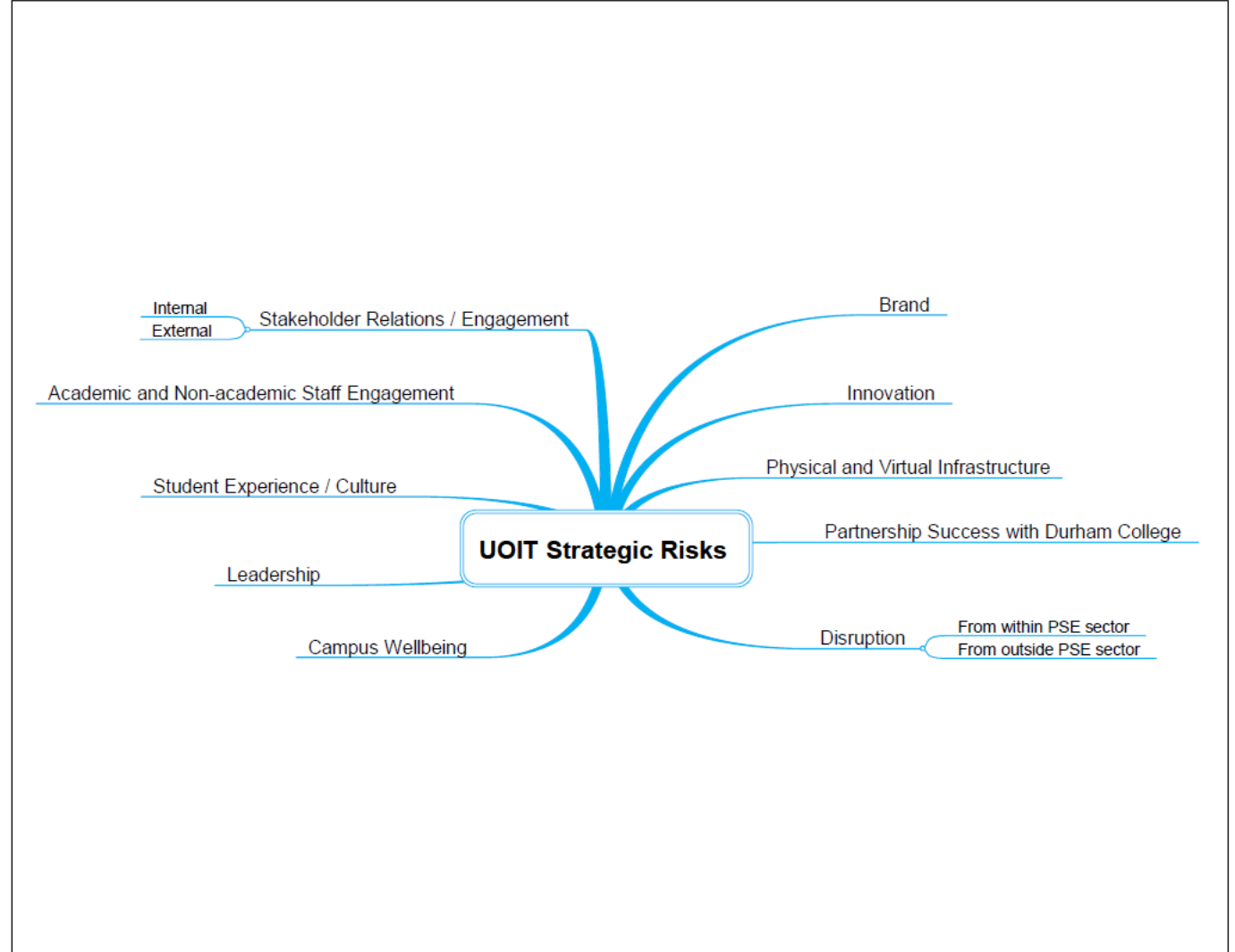
Risk Management Metrics
Requests for Risk Assessments and Plans (indicators of risk consideration in decision-making and planning)
Risk Management General Advice Requests
Risk Management Meetings
Risk Management Training Sessions
Risk Registers Completed/Reviewed
Risk Management Committee Meetings
Partnership Risk Support Meetings (SA/DC/Residence/Ice Centre)
Event Requests Reviewed
Employee and Student Risk Monitoring Reports
Incidents Reviewed and Tracked
Square Footage of Property Reviewed for Risks/Hazards
Website – number of hits on the Risk Management link
Frequency of Department/Faculty Risk Discussion
Insurance Policies
Insurance Advice Provided
Insurance Certificates (requested/provided)
Claims Managed
Claims per *capita
Claim value per capita
Insurance premiums per capita
Square footage per capita
Buildings per capita
Liability premium expense vs. FTE exposure
Property premium expense vs. total insurable values

*1 FTE Student

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Appendix G. – Strategic Risks Map

C:\Users\mleewanh\Desktop\UOIT Strategic Risks 05312018.twdx



Wednesday, May 30, 2018

2018 UNIVERSITY RISK MANAGEMENT REPORT

Appendix H – Operational Risk Themes:

In keeping with the Board's direction and mandate to oversee risk, the Board's role regarding operational risk is to ensure that there is a process for identifying and managing those risks. In the Annual Report, the annual processes are described. The Senior Leadership Team and the Audit & Finance Committee requested that the Board also be apprised of the themes arising from the operational risks identified by the Risk Owners. This Appendix H provides a summary of those themes with examples of the nature of the risks included within each theme.

Theme : Stakeholder Success/ Management

1. Student Experience
2. Effective management of student mental health
3. Effective management of student misconduct
4. Students – financial incentives and support
5. Attraction and retention of employees
6. Government
7. Community relations
8. Partner relations

Theme: Financial

1. Asset management
2. Fund raising
3. Failure to fund key initiatives: Entrepreneurship
4. Government funding
5. Technology – maintaining and staying up to date
6. Enrolment and competition
7. Tuition
8. Research Revenue

Theme: Academic

1. Programming mix
2. Quality research
3. Adequate support for researchers
4. Maintaining academic standards
5. Academic Integrity (Faculty and Student)
6. Faculty workload management
7. Quality Assurance processes
8. Changing standards/expectations

Theme: Organizational Effectiveness

1. Effective and engaged board
2. Contract compliance
3. Regulatory compliance
4. Administrative law compliance
5. Policy and process gaps
6. Communication
7. Effective use of internal resources

Theme: Ancillary operations

1. Financial impact
2. Liability

2018 UNIVERSITY RISK MANAGEMENT REPORT**Theme: Culture**

1. Maintaining collegiality and civility

Theme: Disruption

1. Lack of Business Continuity plan
2. Equipment or Technology Failure

Theme: Safety and Security

1. Workplace safety
2. Information Technology security
3. International Travel

Theme: Shared Campus Model



New Building Update Board of Governors June 27, 2018

Agenda

Agenda Item 9.7

- ① Why A Design Build Contract**
- ② Risk Mitigation Strategies**
- ③ RFP For Preliminary Phase – Design Services**
- ④ RFP Selection Process**
- ⑤ RFP Evaluation Team**
- ⑥ Project Schedule**

Why A Design Build Contract

Agenda Item 9.7

- Allows the ability to spend more time on consultation with the UOIT community, and specifically with future building occupants, to get input and establish a design that meets user needs and community expectations.
- The owner is fully engaged in the design phase, and can make value engineering decisions throughout. This decreases the number of change orders, allowing for better management of schedule and costs.
- The DB contractor bears the majority of risk with a GMP, as the risk of design omissions and errors is substantially transferred to the contractor. These risks include accuracy of schedule, severe weather, contentious labour relations, delays in planning approvals or permits, and cost overruns.
- All cost categories are transparent to the owner, and all sub-contracts will be competitively bid by the DB contractor in collaboration with the owner.

Risk Mitigation Strategies

Agenda Item 9.7

- Worked with our legal team and engaged outside professional assistance (WeirFoulds) to develop the UOIT-friendly RFP Supplemental Conditions to the standard construction Form (CCDC 14). These conditions form the basis of the contract with the successful proponent (enabling UOIT to identify and assess any proponent objections to proposed terms during the bid evaluation process and limiting later scope of negotiations)
- Have an experienced Project Manager (Larry Brual) to coordinate all activities with a focus on quality, schedule, and cost.
- Hire a Payment Certifier to provide expertise in validating DB costs during design, and highlight areas and opportunities for value engineering.
- Build contingency into the budget of both the GMP and FFE portions of the project.
- Sub-trades will be consulted during the design stage to validate GMP costing. During construction sub-trade contracts will be competitively bid.

RFP For Preliminary Phase – Design Services

Agenda Item 9.7

- Used CCDC14 (Standard construction Design Build template) as construction management contract template.
- Worked with WeirFoulds to develop supplemental conditions to CCDC14 that:
 - Define the type of contract as GMP + Cost Savings
 - Indicate the Contract Price includes all costs, including Production Planning & Detailed Scheduling (PPDS) work. The DB contractor is responsible for 100% of project costs, including the preliminary work under PPDS.
 - Assign DB responsibility for examination of site
 - Set progress payment cycle at 45 days, and warranty holdback at 2%
 - Add language around insurance coverage from UOIT insurer
 - Define what is to be included in status update reporting, and timing of same
 - Outline a financial audit process that will insure transparency of costs
 - Include Liquidating Damages for construction delays tailored to this project
 - Add a statement about importance of construction safety throughout the project

Evaluation Methodology

Multi-stage proposal process that gives consideration to both the qualifications and pricing of each Proponent.

Phase I – Technical Score

Proposals were evaluated by the selection committee as outlined in this RFP. This evaluation was based solely on the information provided in the Proposals. Each Proponent was scored, as outlined below, and scores were tallied before the selection committee proceeded to the evaluation of the Pricing Proposals.

Item	Phase 1 - Technical Criterion	Value
6.4	Submission of Complete Proposal as per Instructions	5
7.2	Capacity and Commitment to the Project	15
7.3	Confirmed Bonding Capacity	5
7.4	Approach to the Project	25
7.5	Experience Record	25
7.6	Proponents Project Team	15
TOTAL TECHNICAL		90

Phase II – Pricing Score

The Pricing Envelopes were opened and scored by the Procurement Department. Each Proponent's pricing information was scored as outlined below. This score was then combined with the technical component score for a total score.

Item	Phase 2 - Pricing Criterion	Value
8.1	Preliminary Phase – Contractor's Fixed Fee	5
8.2	Preliminary Phase – Hourly Rates	5
8.3	Preliminary Phase – Compensation for Right to use the Design Development Documents	5
8.4	Construction Phase – Contractor's Percentage Fee	10
8.5	Construction Phase – Contractor's Weekly Rate Fee	5
8..6	Construction Phase – Percentage Savings Formula	5
TOTAL PRICING		35

RFP Selection Process

Agenda Item 9.7

Phase III – Proponent Interview

The top three Proponents from Phase II will participate in an interview with the selection committee as outlined in the RFP. The Interviews will be scored out of 30 points.

The Proponent with the highest total final score will be recommended for award.

Overall Evaluation Weighting

Item	Overall Evaluation Criterion	Value
6.4	Submission of Complete Proposal as per Instructions	5
7.2	Capacity and Commitment to the Project	15
7.3	Confirmed Bonding Capacity	5
7.4	Approach to the Project	25
7.5	Experience Record	25
7.6	Proponents Project Team	15
8.1	Preliminary Phase – Contractor's Fixed Fee	5
8.2	Preliminary Phase – Hourly Rates	5
8.3	Preliminary Phase – Compensation for Right to use the Design Development Documents	5
8.4	Construction Phase – Contractor's Percentage Fee	10
8.5	Construction Phase – Contractor's Weekly Rate Fee	5
8.6	Construction Phase – Percentage Savings Formula	5
7.7	Interview with top three Proponents from Stage 2	30
GRAND TOTAL		155

- Andrea Blight – Capital Planning Officer, OCIS
- Brad MacIsaac – AVP Planning and Analysis
- Christine Nitsa – Project Planning Officer, OCIS
- Ken Bright – Director of Campus Infrastructure & Sustainability
- Larry Brual – Senior Project Manager
- Meghann Lloyd – Associate Professor, Faculty of Health Science
- Stephen Thickett – Director of Planning & Operations, Student Life

Project Schedule

Agenda Item 9.7

Project Activity	Completion Date
Award Preliminary Phase Design Services Contract (PPDS)	June 28, 2018
Completion of PPDS - Schmatic Design	Dec 18, 2018
Finalization of Gross Mazimum Price Agreement (GMP)	Feb 20, 2019
Design-Build Contract Awarded	Mar 6, 2019
Construction Completed	Mar 4, 2021
Occupancy	June 30, 2021



COMMITTEE REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: June 27, 2018

FROM: Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: By-laws Implementation – Academic Council Governance Committee

COMMITTEE MANDATE:

- the Governance, Nominations & Human Resources Committee (GNHR) is responsible for advising the Board of Governors on its governance structure & processes in accordance with its Terms of Reference
- as set out in the By-laws Implementation Plan that was presented to GNHR on February 7, 2018, discussing the establishment of a governance committee/working group of Academic Council (AC) was identified as AC's immediate priority
- with the support of Academic Council, we are seeking the Board's approval of the draft Governance & Nominations Committee Terms of Reference, as presented

BACKGROUND:

- updated By-law Nos. 1 and 2 were approved by the Board on October 26, 2017 & come into effect on September 1, 2018
- in preparation for the updated By-laws, GNHR reviewed & endorsed the proposed By-laws Implementation Plan at the committee meeting in February 2018
- the By-laws Implementation Plan, which includes a Parking Lot of items related to the implementation of By-law No. 2 (the By-law that governs the affairs of the Academic Council), will require a considerable amount of work

- as a result of discussions of the By-law Review Project Working Group & as part of the evolution of Academic Council, it has been recommended that AC establish a Governance & Nominations Committee (GNC)
- the GNC would take over several of the responsibilities that are currently delegated to the Academic Council Executive Committee
- in drafting the proposed Terms of Reference, we benchmarked the senate committee structure of 14 other Ontario universities

Name & Role of Committee:

- there is inconsistency across institutions as to which body is responsible for governance – varies from a By-laws Committee to the Executive Committee
- establishing a Governance & Nominations Committee for Academic Council would be consistent with the structure of the university's Board of Governors

Membership:

- we recommend the GNC be composed of current members of Academic Council to ensure the committee members are familiar with the role & responsibilities of Academic Council & have knowledge of how meetings are functioning
- having the President & Provost as members of the committee is consistent across institutions
- we recommend having an elected tenured/tenure track or teaching faculty member from every Faculty, as well as a student and staff member on the GNC
- as proposed, the committee would have a total of 12 voting members, 7 of whom would be elected faculty representatives
- we also recommend that the Academic Council Executive Committee nominate committee members for the GNC based on expressions of interest from Academic Council members
- nominations through an expression of interest will assist with ensuring diverse representation on the committee, including a balance of tenured/tenure track & teaching faculty members – it will also provide an opportunity to assess the governance background of nominees

Format:

- the format of the Terms of Reference has been changed to be consistent with Board committees – this will allow for easier transition between governing bodies

Responsibilities:

- elements of the Terms of Reference for the Board's Governance, Nominations & Human Resources Committee have been incorporated, as well as responsibilities identified during the benchmarking process
- the policy/procedure authority elements have been reviewed to ensure they are consistent with the Policy Framework

CONSULTATION:

GNHR:

- April 19, 2018 – for comment
- May 31, 2018 – for recommendation

- the feedback given by GNHR regarding the number of meetings and quorum were incorporated in the attached draft

Academic Council Executive Committee:

- April 3, 2018 – for comment

Academic Council:

- April 17, 2018 – for comment
- May 15, 2018 – for recommendation

Board of Governors:

- May 9, 2018 – for comment
- June 27, 2018 – for approval

NEXT STEPS:

1. The Office of the University Secretary will assist the Academic Council Executive Committee with issuing a call for expressions of interest for the GNC committee members over the summer.
2. The GNC will be established by September 2018 and will continue working on the implementation of By-law No. 2.

MOTION:

Pursuant to the recommendations of the Governance, Nominations and Human Resources Committee of the Board of Governors and Academic Council, the Board of Governors hereby approves the Terms of Reference for the Governance & Nominations Committee of Academic Council, as presented.

SUPPORTING REFERENCE MATERIALS:

- Draft Governance & Nominations Committee Terms of Reference

ACADEMIC COUNCIL

Governance & Nominations Committee

1. TERMS OF REFERENCE

The Governance & Nominations Committee (“Committee”) is a standing committee of the UOIT Academic Council and is responsible for providing advice to Academic Council on its governance structure and processes, the nomination and election of new members, and Academic Council performance.

Specifically, the Committee will have the following responsibilities:

(a) Governance

- Advise Academic Council on operations, efficient and effective structures supporting good governance, and Academic Council’s relationship with other bodies at the university as established in the *UOIT Act* and By-Laws;
- Advise Academic Council on the establishment, terms of reference, composition, membership and retirement of its committees, including its own;
- Propose, oversee, and periodically review the governance policies of Academic Council and its committees and make recommendations to Academic Council for development and revision when appropriate;
- Establish, oversee, and periodically review the governance procedures, guidelines, and directives of Academic Council and revise when appropriate;
- Develop, implement and monitor procedures for assessing and/or improving the effectiveness of Academic Council and its committees; and
- Oversee the delivery of programs for the orientation and ongoing education of members of Academic Council and its committees on good governance practices.

(b) Nominations

- Review and monitor the membership needs of Academic Council and its committees;
- Oversee the process of recruitment, selection, and election of new members of Academic Council and its committees and recommend appointments for approval by Academic Council in accordance with the *UOIT Act* and By-laws. In doing so, the Committee shall strive to achieve a balance of skills, expertise, and knowledge among its membership, while reflecting the demographic and cultural diversity of the communities served by the university; and

- Oversee the nomination and selection of Academic Council's Vice-Chair from among the members of Academic Council.

2. MEETINGS

The Committee shall meet between six (6) and eight (8) times per year, or otherwise at the Committee's discretion. In accordance with the *UOIT Act* and By-laws, the Committee shall conduct two types of meetings as part of its regular administration: Public and Non-Public.

3. MEMBERSHIP

The Committee shall be composed of:

- One (1) elected Academic Council member, being a Teaching Faculty member or Tenured/Tenure Track member, from each Faculty
- One (1) Dean
- One (1) student member from Academic Council

Ex-officio

- President & Vice-Chancellor (Chair)
- Provost & Vice-President, Academic
- Staff member of Academic Council (since there is only 1)
- Secretary of Academic Council (non-voting)

4. NOMINATION

The Academic Council Executive Committee will nominate members through expressions of interest from Academic Council members. When nominating candidates, the Academic Council Executive Committee should ensure the Committee members represent the diverse perspectives of the different constituencies within the UOIT community, including a balanced representation of tenured/tenure-track faculty and teaching faculty.

5. QUORUM

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



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: June 12, 2018

PRESENTED BY: Karyn Brearley, Chair of Governance, Nominations and Human Resources Committee

SLT LEAD: Cheryl Foy, University Secretary and General Counsel

SUBJECT: Policy Framework Amendments – For Approval

COMMITTEE/BOARD MANDATE:

- Under the UOIT Act, section 9 (1), the Board has the power: “to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented”. The UOIT Policy Framework is a key institutional policy that delegates the Board’s power, establishing categories of policy instruments with distinct approval pathways.
- Under the Policy Framework, the Board is the approval authority for this policy. We submit this report and draft amendments to ask for your approval of the UOIT Policy Framework.
- *Whereas Academic Council and GNHR have recommended the amendments to the UOIT Policy Framework for approval, and GNHR has approved the Procedures for the Development, Approval and Review of Policy Instruments and Appendices D and E, the Board of Governors approves the amendments to the UOIT Policy Framework and Appendices A, B and C.*

BACKGROUND/CONTEXT & RATIONALE:

- The UOIT Policy Framework was approved by the Board November 28, 2014. Under the Framework, all policy instruments must be reviewed at least every three years. A review was conducted, involving extensive consultation and resulting in proposed amendments.
- Academic Council has recommended the amendments to the UOIT Policy Framework for approval at its May 15, 2018 meeting. GNHR has recommended the amendments for approval at its May 31 meeting.

RESOURCES REQUIRED:

- N/A

IMPLICATIONS:

- N/A

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- N/A

ALTERNATIVES CONSIDERED:

- N/A

CONSULTATION:

- Through Policy Advisory Committee (PAC) and University Administrative Council, the USGC has solicited comments from policy leads or policy owners who have engaged in policy projects under the Policy Framework. Additionally, we have developed an online questionnaire targeted at Policy Framework users to collect comments. We have conducted a special meeting with Academic Council to obtain their views on the existing Policy Framework. To address comments from Academic Council, we engaged outside counsel to provide a perspective on the duty to consult and ensure that the Policy Framework is consistent with the UOIT Act. Those comments have informed the proposed amendments to the Policy Framework and Procedures.

List of Consultation Dates:

- Policy Advisory Committee (December 13, March 2, March 22, April 19, June 6)
- Academic Council (January 16, February 13, April 17)
- Online Consultation (community comments) (January 30 - February 28)
- University Administrative Council (February 13, April 10)
- Senior Leadership Team (February 26, April 9)
- Governance, Nominations and Human Resources Committee (February 7, April 19)
- Board of Governors (March 7, May 9)

Comments Received and Response:

- GNHR requested a document including category definitions and a list of policy instruments approved under the Policy Framework in each of the categories. **Response:** We have prepared a document, previously distributed.
- There has been discussion about the duty to consult Academic Council and ensuring that the Policy Framework is consistent with the UOIT Act. **Response:** Under the UOIT Act, section 10 (5) the Board has a "Duty to consult" with Academic Council before making a decision regarding the establishment of academic, research, service and institutional policies. Based on comments from Academic Council, we confirm that the intention is for Academic Council to be consulted on Legal Compliance and Governance and Administrative Policy Instruments. Mandatory Consultation steps have been added to the Policy Framework for added clarity.
- Delegation of approval authority for Academic Policy instruments should be done as part of a broader governance review in the context of By-law No. 2 implementation. **Response:** We support re-examining Academic approval authorities as part of By-law

implementation. We note that changes to the Academic Council committee terms of reference may require further amendment to the Policy Framework.

- Many in the university community are not aware of the process involved in developing and consulting on policies at UOIT. **Response:** We revise our training presentation and increase our offerings of training to those involved in policy projects and interested parties.
- There is a desire to clarify and simplify the policy development, consultation and approval process. A key concern is that the process from policy idea to approval can be long. We wish to explore ways to clarify the process, making it easier to navigate without losing sight of the importance of consultation in the policy development process. **Response:** Under the Policy Framework, the Policy Owner is responsible for assigning a Policy Lead to conduct the consultation process, draft policies, and integrate or respond to stakeholder comments. Many factors, including limited resourcing to do policy work within the Policy Owner's unit and within the Secretariat. Given the limited resources, the Secretariat's focus is on education and facilitation. To that end we will continue to develop tools and training related to stakeholder consultation and support Policy Leads in developing consultation schedules. We plan to make Policy Advisory Committee (PAC) agendas available to faculty and staff for increased transparency. In our proposed amendments, we set out mandatory consultation steps that ensure that consultation remains a priority.
- Strengthen the role of PAC to provide its comments more weight, and to include a role in the approval of administrative procedures. Ensure PAC reviews all Administrative and Legal, Compliance and Governance policies and procedures. **Response:** Proposed amendments to the Policy Framework and Procedures have included PAC as a mandatory step for all Administrative and Legal, Compliance and Governance policy instruments. PAC's assessment will be reported during deliberation and approval. We are also recommending increasing faculty numbers on PAC from one to two.
- Implementation of policies does not always include follow-up to ensure successful implementation and adoption. **Response:** There is no audit function for policy compliance at this time as the focus continues to be on implementation and clean up. The Policy Framework places the responsibility for an implementation plan on the Policy Owner, but also requires the Policy Owner to evaluate the implementation and report on it to the Approval Authority within one year of implementation. This requirement must be emphasized in our training and communications around the Policy Framework.
- There has been discussion of the categorization and approval authority for the Administrative and LCG categories. Administrative policies do not come to the Board for approval. The intent is to ensure that the Board is focused on high-level strategic policies, and not overwhelmed by operational policies. The Board is kept informed through an annual report on policies. **Response:** We are looking at how we can bring more clarity to the categorization of policies and also increase accountability to the Board. We have developed a delegation of authority chart as an appendix to the Policy Framework, as well as a Local policy approval form to approve Local policy instruments.
- There has been a suggestion to increase the opportunities for faculty members to contribute to policy development. **Response:** We agree that faculty members have a valuable perspective in the development of policies. Proposed amendments to the PAC Terms of reference increase the Teaching Staff membership of PAC to two. Additionally, the amendments to the Policy Framework provide for a mandatory open comment period on new or revised policies and procedures. These measures provide an additional opportunity for faculty members to consider and comment on policies in development.
- There has been a request to provide more clarity on the determination of what constitutes a substantive vs. and editorial amendment. **Response:** Section 17 of the Procedure provides more detail on how the determination is made.

COMPLIANCE WITH POLICY/LEGISLATION:

- We have taken steps to ensure that the UOIT Policy Framework is consistent with the UOIT Act, the current By-law and the new By-laws No. 1 and 2 which are effective September 1, 2018. The UOIT Policy Framework delegates the Board's power "to establish academic, research, service and institutional policies and plans and to control the manner in which they are implemented" and preserves the Board's duty to consult Academic Council under the UOIT Act and By-law No. 2 before establishing policies.

NEXT STEPS:

- Amendments to be posted to the Policy Library and communicated to the University Community.

MOTION FOR CONSIDERATION:

- *Whereas Academic Council and GNHR have recommended the amendments to the UOIT Policy Framework for approval, and GNHR has approved the Procedures for the Development, Approval and Review of Policy Instruments and Appendices D and E, the Board of Governors approves the amendments to the UOIT Policy Framework and Appendices A, B and C.*

SUPPORTING REFERENCE MATERIALS:

- UOIT Policy Framework
- Appendix A Guide to Approval Authorities and Mandatory Consultation
- Appendix B – Delegation of Authority Char
- Appendix C – Policy Advisory Committee Terms of Reference
- Procedures for the Development, Approval and Review of Policy Instruments
- Appendix D – Policy Instrument Templates
- Appendix E – Local Policy Approval Authority Form



<u>Classification</u>	<u>LCG 1100</u>
<u>Category</u>	<u>Legal, Compliance and Governance</u>
<u>Approval Authority</u>	<u>Board of Governors</u>
<u>Policy Owner</u>	<u>University Secretary</u>
<u>Approval Date</u>	<u>DRAFT FOR APPROVAL</u>
<u>Review Date</u>	<u>November 2017</u>
<u>Supersedes</u>	<u>N/A</u>

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UOIT POLICY FRAMEWORK

PURPOSE

1. This framework is intended to provide for effective and consistent practice in the development and administration of University policy instruments.

DEFINITIONS

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

“Approval Authority” means a body or position that has authority to approve, amend, review or revoke a Policy Instrument.

“Deliberative Body” means a University body or committee responsible for discussion and consideration that provides recommendations for Policy Instruments prior to submission for approval.

“Directive” means a set of mandatory instructions that specify actions to be taken to support the implementation of and compliance with a ~~policy~~Policy or ~~procedure~~Procedure.

“Guideline” means a set of optional directions that provide guidance, advice or explanation to support the implementation of a ~~policy~~Policy or ~~procedure~~Procedure.

“Policy” means a statement of principle intended to govern the operation of the University and which aligns with the legislative, regulatory and organizational requirements of the University.

“Policy Advisory Committee (PAC)” ~~means an advisory committee and deliberative body, established to conduct Policy Assessments and deliberate on Policy Instruments as set out in Appendix A. means a sub-committee of the Provost’s Advisory Committee on Integrated Planning (PACIP) that serves as the Deliberative Body for all Administrative Policy Instruments.~~

“Policy Assessment” ~~means a review of a draft Policy Instrument as described in the PAC Terms of Reference (Appendix C).~~

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“Policy Instrument” means the different tools and documents that are ~~utilized~~used to provide direction in the governance and administration of the University. Policy instruments may have application within a single organizational unit (Local) or across more than one organizational unit (University-wide).

“Policy Library” means ~~the official~~a central repository for the coordination and communication of University-wide Policy Instruments.

“Policy Lead” means the individual(s) responsible for drafting, reviewing, or amending a Policy Instrument.

“Policy Owner” means the position responsible for overseeing the implementation, administration and interpretation of a Policy Instrument.

“Procedure” means a process, information or step-by-step instructions to implement a ~~policy~~Policy.

“University Administrative Council (UAC)” means a body chaired by the Provost and made up of the Senior Leadership Team (not including the President) and the Senior Academic Team.

“Senior Leadership Team (SLT)” means the President and other members of senior management selected to be on SLT by the President.

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SCOPE AND AUTHORITY

3. This policy applies to all University Policy Instruments.
4. The University Secretary is delegated overall responsibility for the administration of the UOIT Policy Framework.
5. The UOIT Policy Library is the official central repository for all University-wide Policy ~~Instrumentsies and Procedures~~ and is overseen and maintained by the University Secretary.

POLICY

The University is committed to developing and maintaining Policy Instruments that contribute to the achievement of its goals and priorities and that provide transparency, clarity and consistency in decision making related to the University’s academic, administrative, legal, compliance and governance requirements.

6. Policy Instruments

6.1. There are four main types of Policy Instruments:

- Policies
- Procedures
- Directives
- Guidelines

7. Categories

7.1. There are five categories of Policy Instruments:

- **Board** Policy Instruments that relate to the governance and administration of the Board of Governors.
- **Legal, Compliance and 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.
- **Administrative** Policy Instruments that relate to the ongoing management and operations of the University and that have application across more than one organizational unit.
- **Academic** Policy Instruments that relate to academic governance and administration within the delegated authority to Academic Council from the Board.

- **Local** Policy Instruments that relate solely to the ongoing management, work, and operation of the single organizational unit for which they were developed. Local ~~policy~~ Policy instruments-Instruments may be Academic or Administrative in nature.

8. Application

8.1. There are two levels of application of Policy Instruments:

- **University-wide** Policy Instruments that have application across more than one organizational unit.
- **Local** Policy Instruments that have application to only the organizational unit for which they were developed. A Local Policy Instrument will not be considered to solely relate to a single organizational unit where:
 - Similar Policy Instruments exist within other organizational units, and/or;
 - The Policy Instrument purports to regulate the actions of other members of the University community.

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9. Hierarchy

9.1. All Policy Instruments will be subordinate to and interpreted consistent with the UOIT Act and By-laws.

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9.2. Policy Instruments at the University will follow a hierarchy. The hierarchy of Policy Instruments is detailed in Appendix A to this Policy as follows:

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a) Policies

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b) Procedures

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9.1.c) Guidelines / Directives

9.2.9.3. Where two Policy Instruments in the hierarchy conflict, the Policy Instrument higher in the hierarchy takes precedence.

- Local Policy Instruments may not contradict University-wide Policy Instruments. University-wide Policy Instruments take precedence where there is a conflict between a University-wide and Local Policy Instrument.
- Where there is a conflict between a Policy Instrument and an existing collective agreement between the University and one of its bargaining units, the collective agreement will prevail.

10. Development, Approval and Review

10.1. Policy Instruments will be developed, amended, approved and reviewed in accordance with the Procedures for the Development, Approval and Review of Policy Instruments.

10.2. Policy Instruments will be formatted and presented in a unified and consistent manner.

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10.3. University-wide Policy Instruments will be subject to a Policy Assessment as set out in Appendix A before submitting for deliberation or approval.

~~10.2.~~

11. Approval and Administration

- 11.1. All Policy Instruments will have a designated Approval Authority. Approval Authorities are ~~detailed-set out~~ in Appendix ~~B-A~~ to this Policy.
- 11.2. Appendices to Policy Instruments form part of the document and are subject to the same approval, amendment, and review processes.
- 11.3. The Approval Authority for a Policy that is not clearly within a single policy category will be determined collaboratively between the President and the Chair of the Board of Governors, upon the advice of in consultation with the University Secretary-as needed.
- 11.4. Policy Instruments will be submitted to a designated Deliberative Body prior to submission to the Approval Authority. ~~Some categories of Policy Instruments may have more than one Deliberative Body in order to ensure the desired level of consultation and review prior to approval.~~
- 11.5. All Policy Instruments will have a designated Policy Owner responsible for the administration of the instrument.
- 11.6. Each organizational unit will maintain a Local Administrative Policy Approval Authority Form (Procedures Appendix E) that sets out the designated deliberation and approval path for each type of Local Administrative Policy Instrument. This form is subject to approval as set out in Appendix B.
- 11.7. Academic Council will set out deliberation and approval requirements for Local Academic Policy Instruments, consistent with the UOIT Act and By-laws.
- 11.8. Local Policy Owners are responsible for reporting the approval of Local Policy Instruments to a reporting body as set out in Appendix B.
- ~~11.5. Each y~~

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12. Consultation

- 12.1. Consultation throughout the policy development and review cycle is crucial to the effective administration of Policy Instruments and to improve respect for and compliance with the instruments. Consultation on Policy Instruments will:
- Consider relevant stakeholders;
 - Provide a comprehensive mechanism to gather and consider feedback and options;
 - Demonstrate that stakeholders' views are being considered;
- 12.2. The University Secretariat will develop and maintain mechanisms to update the University community regarding Policy Instruments under development or review and provide a means for gathering feedback.

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~~12.2.12.3.~~ Requirements for mandatory consultation are set out in Appendix A.

13. Classification and Publication

- 13.1. Policy Instruments will be organized and maintained according to a classification scheme that is a reflection of the content and application of the instrument.
- 13.2. ~~Policies and Procedures~~ University-wide Policy Instruments will be maintained in an official University Policy Library that is updated on an ongoing basis.

14. Review

14.1. All Policies will undergo a substantive review every three years.

15. Reporting

15.1. The University Secretary will report annually to the Board of Governors and Academic Council on Policies approved and reviewed during the year.

MONITORING AND REVIEW

16. The Policy Framework will be reviewed every three years. The Policy Advisory Committee is responsible for reviewing and evaluating this Framework and its associated Procedures.

RELEVANT LEGISLATION

17. University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended
By-Law Number 2 of the University of Ontario Institute of Technology (effective September 1, 2018)

RELATED POLICIES, PROCEDURES & DOCUMENTS

18. Procedures for the Development, Approval and Review of Policy Instruments
Policy Instrument Checklist-Review and Submission-Planning Form
Policy Instrument Drafting Guidelines (To be developed)
Policy Instrument Templates (To be developed)
Policy Development and Review Cycle
Policy Instrument Review and Evaluation Guidelines (To be developed)



Classification	LCG 1100.01
Framework Category	Legal, Compliance and Governance
Parent Policy	UOIT Policy Framework
Approval Authority	Board of Governors
Policy Owner	University Secretary
Approval Date	November 28, 2014 <u>DRAFT FOR REVIEW</u>
Review Date	November 2017
Supersedes	N/A

PROCEDURES FOR THE DEVELOPMENT, APPROVAL AND REVIEW OF POLICY INSTRUMENTS

PURPOSE

- These procedures are intended to ensure clarity and consistency in the administration of policy instruments across the University.

DEFINITIONS

- For the purposes of these procedures the following definitions apply:

“Approval Authority” means a body or position that has authority to approve, amend, review and revoke a Policy Instrument.

“Deliberative Body” means a University body or committee responsible for discussion and consideration ~~and that~~ provides recommendations for Policy Instruments prior to submission for approval.

“~~Minor Editorial~~ Amendment” means an amendment that is essentially editorial in nature or does not change the purpose, scope or substantive content of the Policy Instrument. An editorial amendment may clarify language, correct typos, update contact information or titles to reflect current organizational structure, or modify the formatting of a Policy Instrument.

“~~Major Amendment~~” means an amendment that substantially change the purpose, scope or content of the Policy Instrument.

“Policy Advisory Committee (PAC)” means an advisory committee and deliberative body, established to conduct Policy Assessments and deliberate on Policy Instruments as set out in Appendix A of the Policy Framework.

“Policy Assessment” means a review of a draft Policy Instrument as described in the PAC Terms of Reference (Appendix C of the Policy Framework).“

~~**Policy Advisory Committee (PAC)”** means a sub-committee of the Provost’s Advisory Committee on Integrated Planning (PACIP) that serves as the Deliberative Body for all Administrative Policy Instruments.~~

“Policy Category” means one of the defining categories of Policy Instruments as set out in the UOIT Policy Framework, as amended.

“Policy Framework” means the UOIT Policy Framework, as amended, which is the enacting Policy for these procedures.

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“Policy Instrument” means the different tools and documents that are ~~utilized~~used to provide direction in the governance and administration of the University. Policy instruments may have application within a single organizational unit (Local) or across more than one organizational unit (University~~-wide~~).

“Policy Lead” means the individual(s) responsible for drafting, reviewing, or amending a Policy Instrument and for facilitating consultation throughout the development and approval process.

“Policy Owner” means the position responsible for overseeing the implementation, administration and interpretation of a Policy Instrument.

“Policy Sponsor” means the Vice-President or delegate who oversees the organizational unit proposing a new Policy Instrument.

“Substantive Amendment” means an amendment other than an Editorial Amendment. It changes the purpose, scope or substantive content of the Policy Instrument. An amendment may be minor in scope but still substantive in nature if it affects stakeholder groups (including students), reassigns organizational authority, or changes existing processes or responsibilities.

SCOPE AND AUTHORITY

3. These procedures apply to the development, approval and review of all University Policy Instruments.
4. The University Secretary is responsible for strategic oversight and overall administration of the UOIT Policy Framework and its associated Procedures and for ensuring the Framework meets University compliance obligations and is aligned with the strategic goals of the University.
5. The University Secretary will assign a delegate who is responsible for supporting the administration of the UOIT Policy Framework and its associated Procedures. This position is responsible for:
 - Coordinating the development, approval, amendment, publication and review of ~~policies and procedures~~Policy Instruments in accordance with the UOIT Policy Framework and these Procedures;
 - Providing advice on amendments to existing ~~Policies and Procedures~~Policy Instruments to the Policy Owners for incorporation in subsequent updates;
 - Providing advice and guidance to policy developers and other staff across the University on ~~policy~~Policy Instrument development, consultation, communication, implementation and review processes;
 - Developing resources that support ~~policy~~Policy Instrument development, evaluation and review;
 - Ensuring that final drafts of new or amended ~~Policies and Procedures~~Policy Instruments are compliant with the UOIT Policy Framework;
 - Publishing and maintaining approved ~~Policies and Procedures~~Policy Instruments in the Policy Library;
 - Managing and coordinating a ~~policy~~Policy Instrument review schedule.

- Preparing an annual report on the development, amendment, revocation and review of University Policy Instruments.
6. The Policy Owner is responsible for overseeing the administration of Policy Instruments under his/her jurisdiction in accordance with the Policy Framework and these Procedures. For any given Policy Instrument, the Policy Owner may assign a Policy Lead to carry out the following responsibilities :
- Developing, preparing amendments to and consulting on Policy Instruments;
 - Facilitating and evaluating the communication and implementation of Policy Instruments;
 - Monitoring adoption and compliance with Policy Instruments that have been implemented;
 - Conducting a review of existing Policy Instruments according to established procedures.

PROCEDURES

7. Identifying Policy Needs

- 7.1. A policy need will arise from identifying:
- Gaps where no Policy Instrument currently exists and where development of an instrument is the appropriate mechanism for addressing the issue;
 - Amendments that are required to existing Policy Instruments for compliance or administrative reasons.
 - Where an existing Policy Instrument should be revoked.
- 7.2. The development of new Policy Instruments requires the approval of a Policy Sponsor.
- 7.3. The amendment or proposed revocation of an existing Policy Instrument requires the approval of the Policy Owner.
- 7.4. The Policy Sponsor or Policy Owner will consult with the University Secretary delegate prior to beginning the development, amendment or revocation of a Policy Instrument.
- 7.5. The University Secretary delegate will advise on the need for a Policy Instrument, the appropriate type of instrument, as well as provide guidance on the processes under the Policy Framework.
- 7.6. The Policy Sponsor or Policy Owner will assign an individual who will act as the Policy Lead.

8. Preliminary Stakeholder Consultation

- 8.1. The Policy Lead will identify key policy stakeholders paying particular attention to faculty, staff and students, and will conduct preliminary consultations with those key policy stakeholders. When applicable, the Policy Lead will give particular consideration to the policies of any and all strategic institutional partners with whom the University shares academic or administrative operations that may overlap or otherwise affect the proposed policy (e.g. Durham College).
- 8.2. Preliminary consultation should include the gathering of feedback on:
- Content of the Policy Instrument;

- Operational practicality;
- Potential impact and resources required for implementation and compliance;
- Planning and requirements for successful communication and implementation.

8.3. Information on preliminary consultations will be provided when instruments are submitted for deliberation and approval.

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8.3.8.4. The Policy Advisory Committee is available as a resource to Policy Leads in the early stages of a policy project to aid in identifying stakeholders, consider consultation and implementation planning, and provide recommendations on whether a policy need can be achieved by modifying or clarifying existing Policy Instruments.

9. Drafting

- 9.1. The Policy Lead is responsible for the drafting of all Policy Instruments.
- 9.2. All Policy Instruments will be accompanied by a completed Policy Instrument ~~Checklist Review and Submission-Planning Form~~.
- 9.3. Policy Instruments will be prepared using the official University templates (Appendix D).
- 9.4. Sections of the templates may not be added or removed. Where a section is not required, the wording "This section intentionally left blank" will be used.
- 9.5. The Policy Lead will ensure Policy Instruments are coherent and are consistent with existing legislation, ~~Policies and Procedure~~ and Policy Instruments.
- 9.6. Where a Policy is being drafted or amended, any Procedures, Directives, Guidelines or other associated documents (e.g. templates, schedules) will also be drafted or amended at the same time in order to ensure consistency and compliance with the Policy.

10. Consultation on Drafts

- 10.1. The Policy Lead will facilitate broader consultation on draft Policy Instruments with key policy stakeholders.
- 10.2. Consultation will be done in all cases except where amendments to an existing Policy Instrument are essentially editorial in nature.
- 10.3. The Policy Lead will incorporate feedback, as appropriate, and advise the policy stakeholders of action taken related to the feedback provided.
- 10.4. When Policy Instruments are submitted for deliberation and approval they will specify:
 - The key stakeholders who were consulted with;
 - The mechanism used to gather feedback and opinions;
 - A description of how stakeholders' views were incorporated into the draft of the instrument;
 - If consultation was not done an explanation of why it was not necessary.

11. Mandatory Consultation and Assessment

11.1. Before submitting a Policy Instrument for deliberation, mandatory consultation steps and a Policy Assessment must be completed, as set out in Appendix A of the Policy Framework.

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11.2. Draft Policy Instruments will be shared with the University community on the University Secretariat's website to solicit feedback.

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11.3. Policy Instruments submitted to a committee or governing body for mandatory consultation or Policy Assessment will be accompanied by a document satisfying the requirements of section 10.4. Submissions will be made to the University Secretary delegate, who will ensure compliance with the Policy Framework before it is shared.

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11.4. The required format of consultation is set out in Appendix A of the Policy Framework.

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11.12. Deliberation

11.1.12.1. In order to ensure compliance with the Policy Framework, the Policy Lead will submit copies of all draft documents to the University Secretary delegate before submission to any Deliberative Body or Approval Authority.

11.2.12.2. Drafts and amendments of Policy Instruments will be submitted to a respective Deliberative Body for review prior to being submitted to the Approval Authority.

12.3. The Deliberative Body is based on the Policy Category of the Policy Instrument, as set out in Appendix B-A of the UOIT Policy Framework.

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12.4. The Deliberative Body will provide feedback and recommendations on a draft. The Deliberative Body may recommend:

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a) Approval of the Policy Instrument;

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b) Approval of the Policy Instrument with recommended changes; or

11.3.c) Further consultation and/or changes, followed by further deliberation.

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12.13. Approval

12.1.13.1. Once feedback and recommendations on draft Policy Instruments are provided by the Deliberative Body, the instruments will be forwarded to the appropriate Approval Authority along with the recommendations of the Deliberative Body.

12.2.13.2. Approval Authorities are set out in Appendix B-A of the UOIT Policy Framework.

12.3.13.3. Appendices to Policy Instruments form part of the instrument and are subject to the same approval, amendment, consultation and review processes as the instrument they are a part of.

13.14. Approved Policy Instruments

13.1.14.1. When approved, Policy Instruments will receive a final review by the University Secretariat prior to communication and implementation.

13.2.14.2. Within two weeks of the approval of a Policy Instrument by the Approval Authority the University Secretary delegate will:

- Notify the Policy Sponsor and Policy Owner of when the approved Policy Instrument is ready for publication;
- Provide a final draft of the Policy Instrument to the Policy Sponsor and Policy Owner including classification number, approval date and mandatory review date;
- Publish copies of the Policy Instrument to the Policy Library.

- Report on approved Policy Instruments to other Deliberative Bodies and Approval Authorities.

14.15. Implementation

14.1.15.1. Once notified by the University Secretary delegate that a Policy Instrument is ready for publication, the Policy Owner is responsible for ensuring information is communicated to policy stakeholders according to the communication and implementation plan.

14.2.15.2. The Policy Owner will evaluate the implementation of the Policy Instrument and report on the implementation to the Approval Authority within one year of implementation.

15.16. Review

15.1.16.1. Policy Instruments will be reviewed at least once every three years. Such reviews will include a review of the Policy Instrument text as well as an assessment of compliance with the practices governed by the text.

15.2.16.2. Where a Policy has specific legislative requirements for reporting it will be reviewed against the stated compliance needs.

15.3.16.3. Where a Policy has Procedures, Guidelines and Directives associated with it, they will be reviewed at the same time as the parent Policy.

15.4.16.4. The University Secretariat will provide tools and templates to facilitate documentation for Policy Instrument review.

15.5.16.5. Amendments to Policy Instruments may be done at any time prior to the stated review date.

- a) Where a Policy Instrument is amended prior to the stated review date, the review will still take place according to the original stated date.
- b) Informal reviews of existing Policy Instruments may be done at any time but will not replace a formal scheduled review.
- c) Where significant concerns related to the content, consistency or compliance with a Policy Instrument exist, a formal review may be undertaken prior to the stated date.
- d) Where it is determined that a Local Policy Instrument conflicts with a University Policy Instrument, the Local Policy Instrument will be reviewed and amended to align with University Policy.

15.6.16.6. Reviews of Policy Instruments will take into consideration:

- The extent to which Policy objectives are being achieved;
- An assessment of the adoption and use of the Policy Instrument;
- Whether the Policy Instrument complies and remains consistent with University strategic goals as well as existing legislation, Policies and Procedures and Policy Instruments;
- Any deleterious impacts resulting from the Policy Instrument; and

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- Whether updates to format or classification are required.

~~15.7,16.7.~~ Review of Policy Instruments will result in recommendations for one or more of the following outcomes:

- No amendment;
- ~~Minor-Editorial~~ amendment;
- ~~Major-Substantive~~ Amendment;
- Revocation;
- Development of new or additional supporting Policy Instruments;
- Additional communication and education of policy stakeholders.

~~15.8,16.8.~~ Upon completion of the review the review outcomes will be reported to the designated Approval Authority.

~~16.9.~~ Further development or amendment of Policy Instruments as a result of review outcomes will be done in accordance with the Policy Framework and these Procedures.

17. Amendment

~~17.1.~~ Policy Instruments requiring amendments will be submitted to the University Secretary delegate with a Policy Instrument Review and Planning Form for review and a determination if the amendment is an Editorial Amendment or Substantive Amendment.

~~17.2.~~ Amendments are subject to the deliberation and approval path set out in Appendix A of the Policy Framework.

~~15.9.~~

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MONITORING AND REVIEW

~~16.18.~~ These Procedures will be reviewed every three years. The Policy Advisory Committee is responsible for reviewing and evaluating these Procedures.

RELEVANT LEGISLATION

~~17.19.~~ [University of Ontario Institute of Technology Act, 2002, SO 2002, c 8, Sch O](#)

[By-Law Number 1 of the University of Ontario Institute of Technology, as amended](#)

[By-Law Number 2 of the University of Ontario Institute of Technology \(effective September 1, 2018\)](#)

RELATED POLICIES, PROCEDURES & DOCUMENTS

~~18.20.~~ UOIT Policy Framework

Policy Instrument ~~Checklist-Review~~ and ~~Submission-Planning~~ Form

Policy Instrument Drafting Guidelines (To be developed)

Policy Instrument Templates (~~To be developed~~)

Policy Development and Review Cycle

Policy Instrument Review and Evaluation Guidelines (To be developed)

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DRAFT FOR APPROVAL – JUNE 12, 2018
Appendix A – UOIT Policy Framework

APPENDIX A – GUIDE TO APPROVAL PATH AND MANDATORY CONSULTATION STEPS

Category/Type	Policy Advisory Committee	Vice-President (or Policy Sponsor)	University Administrative Council	University Community	Academic Council Committees	Academic Council	President	Board Committee	Board of Governors
BRD Policy				MC2				D	A
BRD Procedure				MC2				D / A	
BRD Guideline				MC2				D / A	
BRD Directive				MC2				D / A	
LCG Policy	PA	*	MC1	MC2		MC1	MC2	D	A
LCG Procedure	PA	*	D	MC2		MC1	MC2	A	
LCG Directive	PA	*	D	MC2		MC2	A		
LCG Guideline	PA	*	D	MC2		MC2	A		
ADM Policy	PA	*	D	MC2		MC2	A		
ADM Procedure	D	*	A	MC2		MC2			
ADM Directive	D	A		MC2		MC2			
ADM Guideline	D	A		MC2		MC2			
ACD Policy		*	MC2	MC2	D	A			
ACD Procedure		*	MC2	MC2	D	A			
ACD Directive		*	MC2	MC2	D	A			
ACD Guideline		*	MC2	MC2	D	A			
Local ADM Policy Instruments		A ¹							
Local ACD Policy Instruments						A ²			

Policy Instrument Categories: BRD – Board; LCG – Legal, Compliance and Governance; ADM – Administrative; ACD – Academic

PA – Policy Assessment

D – Deliberation

A – Approval

* – Approval of editorial amendments

MC – Mandatory Consultation:

MC1 – Face to Face

MC2 – Written³

¹ As set out by Vice-President responsible for the unit.

² As set out by Academic Council.

³ Written Consultation means posting a draft policy instrument on USGC website for community comments. Policy Lead may optionally consult face to face.

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UOIT POLICY FRAMEWORK APPENDIX B – DELEGATION OF AUTHORITY CHART

	Individuals										Administrative Bodies		Academic Council			Board of Governors	
	Policy Office	University Secretary	Policy Lead	Policy Owner	Policy Sponsor	Manager	Director	AVP/Dean	VP	President	PAC	UAC	Faculty Council	AC Committees	Academic Council	Board Committee	Board
Policy Project Initiation, Drafting and Consultation																	
Policy Sponsor (approve projects to fill university-wide policy gaps)									X	X							
Policy Owner (identify policy gaps, assign Policy Leads)								X	X	X							
Policy Owner (Local Administrative Policies)						X	X	X									
Policy Owner (Local Academic PI)								X									
Policy Lead (identify stakeholders, determine schedule and method of consultation and develop plan, benchmark, draft PI, submit for consultation, incorporate and/or respond to comments)			X														
Policy Lead (submit draft to Policy Office for deliberation with a report on consultation to the deliberative body)			X														
Provide general training and advice on framework processes, advise on consultation planning, manage consultation website & schedule	X																
Classify PI, determine if amendments are editorial or substantive, report on PI reviews and approvals to Board and Academic Council. ¹		X															
Determine Policy Owner and Sponsor. Resolve questions about the approval authority for a PI where it is unclear										X ²							
Required consultation for research, service & institutional policies ³															X		

¹ includes reporting on Local Policies submitted by Local Policy Owners
² In collaboration with the Board Chair under the advice of the University Secretary
³ Research-related PI should undergo consultation with Research Board and all applicable research ethics or compliance committees

Abbreviations: ACD – Academic; ADM – Administrative; BRD – Board; LCG – Legal, Compliance & Governance; PI – Policy Instrument

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	Individuals										Administrative Bodies		Academic Council			Board of Governors	
	Policy Office	University Secretary	Policy Lead	Policy Owner	Policy Sponsor	Manager	Director	AVP/Dean	VP	President	PAC	UAC	Faculty Council	AC Committees	Academic Council	Board Committee	Board
Policy Assessment																	
Submit to Policy Office for Policy Assessment			X														
Policy Assessment of Legal, Compliance and Governance and Administrative PI											X						
Policy Assessment of Academic PI														X ⁴			
Policy Assessment of Board PI		X															
Amend Policy Advisory Committee terms of reference																	X
Deliberation																	
Determine if Mandatory Consultation & Policy Assessment are complete. Review formatting of PI. Submit for deliberation	X																
Report on deliberations to approval authority			X														
Approvals (New or Substantive Amendments)																	
Submit PI for approval	X																
Training and communications to support implementation of PI. Assess adoption and compliance with new PI and report to the Approval Authority after one year of implementation			X	X	X												
Approvals (Editorial)																	
Approve editorial amendments to all PI Categories (except Local)					X												
Report editorial amendments to Approval Authority			X	X	X												
Policy Library																	
Notify Policy Office of new PI or amendment approvals			X	X													
Maintain official copy of university-wide PI & record of approvals & amendments. Review formatting of PI. Determine related Policies, Procedures and Documents. Post to Policy Library	X																

⁴ Recommend that a committee of Academic Council fill this role

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	Individuals									Administrative Bodies		Academic Council			Board of Governors		
	Policy Office	University Secretary	Policy Lead	Policy Owner	Policy Sponsor	Manager	Director	AVP/Dean	VP	President	PAC	UAC	Faculty Council	AC Committees	Academic Council	Board Committee	Board
Policy Review																	
Determine Policy Review priorities and initiate a Policy Review ⁵										X					X	X	
Determine outcome of Policy Review ⁶										X					X		X
Maintain University-Wide Policy Review Schedule	X																
Approvals (New or Substantive Amendments)																	
Approve new BRD Policy or substantive amendment																	X
Approve new BRD Procedure or substantive amendment																X	
Approve new BRD Guidelines/ Directives or substantive amendment																X	
Approve new LCG Policy or substantive amendment																	X
Approve new LCG Procedure or substantive amendment																X	
Approve new LCG Guidelines/ Directives or substantive amendment										X							
Approve new ACD Policy or substantive amendment														X			
Approve new ACD Procedure or substantive amendment														X			
Approve new ACD Guidelines/ Directives or substantive amendment														X			
Approve new ADM Policy or substantive amendment										X							
Approve new ADM Procedure or substantive amendment												X					
Approve new ADM Guidelines/ Directives or substantive amendment									X								

⁵ Policy Reviews can be initiated by the policy sponsor, owner or approval authority of a Policy

⁶ Review outcome is determined by the approval authority of the Policy under review, with the recommendation of the Policy Sponsor or Owner

Abbreviations: ACD – Academic; ADM – Administrative; BRD – Board; LCG – Legal, Compliance & Governance; PI – Policy Instrument

DRAFT FOR APPROVAL – JUNE 12, 2018

	University										UAC		Academic Council			Board	
	Policy Office	University Secretary	Policy Lead	Policy Owner	Policy Sponsor	Manager	Director	AVP/Dean	VP	President	PAC	UAC	Faculty Council	AC Committees	Academic Council	Board Committee	Board
Approvals (Local Administrative Policy)																	
Approve new Local Administrative Policy or amendment and report to reporting body for Local Administrative PI							X	X	X								
Approve Local Administrative Approval authority form									X								
Maintain the official copy and a record of approvals & amendments of Local Administrative PI over time	X																
Reporting body for Local Administrative PI											X						
Approvals (Academic Local Policy)																	
Set out approval and deliberation path for Local Academic PI															X		
Approve editorial amendments to Local Academic PI and report to Faculty Council and reporting body for Local Academic PI								X									
Maintain the official copy and a record of approvals & amendments of Local Academic PI over time	X																
Reporting body for Local Academic PI														X ⁷			

⁷ Reporting body is the applicable committee of Academic Council based on their terms of reference.

Abbreviations: ACD – Academic; ADM – Administrative; BRD – Board; LCG – Legal, Compliance & Governance; PI – Policy Instrument



Item Classification	5.12 LCG 1100 (Appendix C)
Parent Policy	UOIT Policy Framework
Approval Authority	Board of Governors
Policy Owner	University Secretary
Approval Date	November 28, 2014 DRAFT FOR APPROVAL
Review Date	November 2017
Supersedes	

APPENDIX C – POLICY ADVISORY COMMITTEE

1. Purpose

The Policy Advisory Committee (PAC) is ~~a subcommittee of the Provost's Advisory Committee on Integrated Planning (PACIP). The PAC~~ an advisory committee and Deliberative Body that provides recommendations to ~~both PACIP~~ other Deliberative Bodies, Approval Authorities, Policy Sponsors and Policy Owners who have brought forward ~~Policies for approval~~ Policy Instruments under development.

~~It is expected that broader consultation on the development and drafting of policies~~ Policy Instruments has occurred prior to a ~~p~~ Policy Instrument reaching the PAC. The purpose of the ~~e~~ Committee is not to act in place of appropriate consultative processes in the development of ~~p~~ Policies y Instruments.

2. Terms of Reference

~~The Committee shall review all policies under development, amendment or review that are related to the ongoing management and administration of University operation and services, in order to:~~

~~a) – Administrative Policies~~

~~The PAC has an advisory role in the development, amendment and review of Administrative Policy, but not a decision-making role. The Committee will conduct an assessment of Policy Instruments and act as a Deliberative Body as set out in Appendix A of the UOIT Policy Framework. When PAC deliberates on a Policy Instrument, the committee should also conduct a Policy Assessment of the instrument, if it has not previously done so.~~

~~It is expected that broader consultation on the development and drafting of policies has occurred prior to a policy reaching the PAC. The purpose of the committee is not to act in place of appropriate consultative processes in the development of policies.~~

~~a) Optional Early Consultation~~

~~The PAC will have~~ Committee can provide a consultation in the following responsibilities related ~~early stages of a policy project to Administrative Policies:~~

- ~~i. — Review and aid in identifying stakeholders, consider all Administrative Policy submissions prior to submission to PACIP.~~

~~Make~~ consultation and implementation planning, and provide recommendations on whether a policy need can be achieved by modifying or clarifying existing Policy Instruments.

b) Policy Assessment

When conducting a Policy Assessment, the Committee will:

- ii.i. Assess whether and what type of new ~~policy~~ Policy Instrument is needed or whether the ~~purpose~~ policy need can be achieved by modifying or clarifying existing ~~policies and procedures~~ Policy Instruments.
- ii.ii. Ensure that ~~policies~~ Policy Instruments are aligned as far as possible with operational practicalities and that potential operational gaps are identified.
- iv.iii. Assess the ~~policy~~ Policy Instrument for consistency or conflict with legislation, the Policy Framework and Procedures, as well as other existing ~~policies and procedures~~ Policy Instruments, regulations and collective agreements. —When applicable, the Committee will give particular consideration to the policies of any and all strategic institutional partners with whom the University shares academic or administrative operations that may overlap or otherwise affect the proposed ~~policy~~ Policy Instruments (e.g. Durham College).
- v.iv. Determine coherence and consistency with the established ~~policy template and~~ format.
- v.v. Review the process and extent of consultation and advise the Policy Sponsor or Policy Owner on areas where additional consultation may be needed.
- vii.vi. Provide advice and guidance to the Policy Sponsor or Policy Owner on issues related to implementation and communication.
- viii.vii. Provide feedback ~~to PACIP~~ regarding the implications of proposed policies, including impact on students, faculty and staff, as well as potential risks, costs and operational requirements, and make recommendations ~~to PACIP~~ regarding possible areas for consideration or change.

b) — Legal, Compliance and Governance Policies

The PAC has a role in the communication of Legal, Compliance and Governance Policies.

The PAC will have the following responsibilities related to Legal, Compliance and Governance Policies:

- i. Receive for information the Policies approved by the Board of Governors.
- ii. Serve in an advisory capacity where requested by the Deliberative Bodies for these Policies.
- iii. Provide feedback to the Deliberative Bodies, as required, regarding the implications of proposed policies, including potential risks, costs and operational requirements and make recommendations regarding possible areas for consideration or change.

c) Deliberation

When acting as a Deliberative Body, the Committee is responsible for discussion and consideration and provides recommendations for Policy Instruments prior to submission for approval. Committee members should consider the elements of a Policy Assessment when deliberating on a Policy Instrument.

d) Policy Priorities and Planning

The Committee will discuss and consider policy gaps and policy needs at the University to provide recommendations to and advise the University Administrative Council on priorities for policy

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development and review. This includes receiving for information and discussion approved Local Policy Instruments. Local Administrative Policy Instruments will be considered in the planning and development of university-wide Policy Instruments.

3. Responsibilities

- a) The PAC Committee will be responsible ~~to undertake~~for the periodic review of the UOIT Policy Framework and its associated Procedures and for making recommendations to improve the effectiveness and implementation of the Framework.
- b) Representatives to the PAC Committee will be responsible for disseminating information and updates regarding Administrative and Legal, Compliance and Governance Policies to their respective areas.

4. Membership

- University Secretary, or delegate (Chair)
- Policy ~~Analyst~~ and Compliance ~~Officer~~Advisor (Secretary to the Committee)

One representative from each of the following Administrative areas:

- Provost
- Academic Affairs~~Labour Relations~~
- External Relations and Advancement
- Research and International
- Finance
- Human Resources
- Office of Campus Infrastructure and Sustainability (OCIS)
- Student Life
- School of Graduate and Postdoctoral Studies
- Faculty Planning and ~~Budget Officers~~Operations Group
- ~~Teaching Staff (selected by the Provost after consultation with PACIP)~~
- Registrar
- IT Services

- Two representatives from the Teaching Staff with direct knowledge and interest in University policies and policy development. Teaching Staff Representatives will be selected by the Provost after consultation with Academic Council.

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Administrative Representatives are appointed by the Vice-President or delegate for each organizational area. ~~Representatives are~~Each representative is expected to be a person within each area who has either direct knowledge or responsibility for the administration and application of policy for their respective unit (i.e. a senior administrative staff member).



Classification Number	
Framework Category	
Approving Authority	
Policy Owner	
Approval Date	
Review Date	
Supersedes	

POLICY TITLE

PURPOSE

1. The purpose of this Policy is to

DEFINITIONS

2. For the purposes of this Policy the following definitions apply: [definitions listed in alphabetical order, and defined terms are capitalized throughout the document]

“A term” means

“B term” means

SCOPE AND AUTHORITY

3. This Policy applies to
4. The [insert position title], or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

[Insert general Policy Statement]

5. Policy Sub-Heading

- 5.1. Statement or broad principle under the policy sub-heading.

a) Use lower case letters for lists, examples, conditions or exceptions

6. Policy Sub-Heading

- 6.1.

7. Policy Sub-Heading

- 7.1.

MONITORING AND REVIEW

8. This Policy will be reviewed as necessary and at least every three years (unless another timeframe is required for compliance purposes). The [insert position/committee], or successor thereof, is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

9. Legislation 1

Legislation 2

Legislation 3

If no associated legislation use the text “This section intentionally left blank”.

RELATED POLICIES, PROCEDURES & DOCUMENTS

10. Associated Document 1

Associated Document 2

Associated Document 3



Classification Number	
Parent Policy	
Framework Category	
Approving Authority	
Policy Owner	
Approval Date	
Review Date	
Supersedes	

PROCEDURE TITLE

PURPOSE

1. The purpose of these Procedures is to

DEFINITIONS

2. For the purposes of these Procedures the following definitions apply: [definitions listed in alphabetical order, and defined terms are capitalized throughout the document]

“A term” means

“B term” means

SCOPE AND AUTHORITY

3. These Procedures apply to
4. The [insert position title], or successor thereof, is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. **Procedure Sub-Heading**
 - 5.1. General direction or instruction under the Procedure sub-heading.
 - a) Use letters for procedural steps
6. **Procedure Sub-Heading**
 - 6.1.
7. **Procedure Sub-Heading**
 - 7.1.

MONITORING AND REVIEW

8. These Procedures will be reviewed as necessary and at least every three years (unless another timeframe is required for compliance purposes). The [insert position/committee], or successor thereof, is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

9. Legislation 1

Legislation 2

Legislation 3

If no associated legislation use the text “This section intentionally left blank”.

RELATED POLICIES, PROCEDURES & DOCUMENTS

10. Associated Document 1

Associated Document 2

Associated Document 3



Classification Number	<i>To be assigned by Policy Office</i>
Parent Policy	
Framework Category	
Approving Authority	
Policy Owner	
Approval Date	
Review Date	
Supersedes	

[GUIDELINES/DIRECTIVES] TITLE

PURPOSE

1. The purpose of these [Guidelines/Directives] is to

DEFINITIONS

2. For the purposes of these [Guidelines/Directives] the following definitions apply: **definitions should be listed in alphabetical order, and defined terms must be capitalized throughout the document]**

"A term" means

"B term" means

SCOPE AND AUTHORITY

3. These [Guidelines/Directives] apply to
4. The [insert position title], or successor thereof, is responsible for overseeing the implementation, administration and interpretation of these [Guidelines/Directives].

[GUIDELINES/DIRECTIVES]

5. Sub-Heading

- 5.1. General direction or instruction under the sub-heading.

a) Use letters to denote specific steps

6. Sub-Heading

- 6.1.

7. Sub-Heading

- 7.1.

MONITORING AND REVIEW

8. These [Guidelines/Directives] will be reviewed as necessary and at least every three years (**unless another timeframe is required for compliance purposes**). The [insert

position/committee], or successor thereof, is responsible to monitor and review these [Guidelines/Directive].

RELEVANT LEGISLATION

9. Legislation 1

Legislation 2

Legislation 3

If no associated legislation use the text “This section intentionally left blank”.

RELATED POLICIES, PROCEDURES & DOCUMENTS

10. Associated Document 1

Associated Document 2

Associated Document 3

DRAFT FOR APPROVAL – MAY 17, 2018

Appendix E – Procedures for the Development, Approval and Review of Policy Instruments

APPENDIX E – LOCAL ADMINISTRATIVE POLICY APPROVAL AUTHORITY FORM**Local Administrative Approval Authorities**

Organizational Unit:	
Date:	
Approved by:	
Approval date:	

Category/Type	Deliberative Body	Approval Authority
Local ACD Policy		
Local ACD Procedure		
Local ACD Directive		
Local ACD Guideline		

Local Administrative approval authorities are subject to approval by the Vice-President responsible for the organizational area. Positions eligible to be assigned as approval authorities are set out in the Delegation of Authority Chart, Appendix B to the UOIT Policy Framework.



BOARD REPORT

SESSION:

Public
Non-Public

☒
☐

ACTION REQUESTED:

Decision
Discussion/Direction
Information

☒
☐
☐

TO: Board of Governors

DATE: June 27, 2018

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

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: 2018-2019 Board Elections

COMMITTEE MANDATE:

- one of the committee'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 & results of the 2018-2019 Board of Governors Election
- we are recommending the appointment of the successful election candidates for approval by the Board of Governors

BACKGROUND/CONTEXT & RATIONALE:

- the 2018-2019 Board of Governors Election took place from February 26 - April 6, 2018 in accordance with the Election Timeline that was approved by the committee in November 2017
- there were 4 vacant positions:
 - Student Governor (1 position – reduced from 2 positions to comply with the updated By-law No. 1 coming into effect on September 1, 2018)
 - Administrative Staff Governor (1 position)
 - Teaching Staff Governor (2 positions)
- the nomination period was originally scheduled for February 26 until March 12, which was a week longer than usual in an effort to encourage greater participation

- due to a lack of nominations for the student governor role, the nomination period was extended for all positions until March 16

Teaching Staff Governor Position

- we received 5 nominations for the 2 Teaching Staff Governor positions on the Board
- in order to confirm eligibility to serve on the Board, each nominee was asked to advise whether she/he has research leave scheduled or she/he would be requesting research leave during the next 2 years
- this fundamental eligibility requirement is based on the understanding and expectation that a faculty member on research leave will be spending all of his/her time on research and participating in no other service at the university during that time (as set out in section 28.03 of the Collective Agreement)
- this eligibility criteria is used for both the Board of Governors and Academic Council faculty representative positions
- 3 nominees responded that they plan to request research leave during the next 2 years
- based on this requirement, one of the nominees withdrew as a candidate
- we notified the other 2 nominees that they were ineligible as candidates in the current election due to their planned research leave requests
- both ineligible nominees expressed concern about this eligibility requirement
- a summary of the concerns are:
 - their research leave requests had not yet been approved
 - research leave does not necessarily mean all of their time is devoted to research & they can still participate in Board/Committee meetings as the time commitment is not extensive
 - this eligibility requirement would exclude many tenured/tenure track faculty from serving on the Board as they are eligible for a 6 month research leave every 3 years
 - once appointed to the Board of Governors, a faculty member is not part of the Faculty Association during the length of their term & section 28.03 of the Collective Agreement would not apply
 - there have been instances of Academic Council members who go on research leave & do not lose their seat on Academic Council
- the rationale for the eligibility requirement is:
 - governors owe a fiduciary duty to the university, which is the highest of legal obligations
 - a fiduciary duty cannot be temporarily delegated to another member
 - while a faculty member is on research leave, the expectation is that she/he is dedicated to research full-time & is not engaging in service at the university
 - if a faculty member's request for service is denied, it may be postponed for a period of no more than 1 year in accordance with the Collective Agreement – accordingly, if a faculty member's request for leave in 2019 is denied, it would generally be granted for 2020
 - to support fulfilment of their fiduciary obligations and effective governance, Board members are expected to attend all meetings when possible –

- attendance expectations are set out in the Board of Governors Attendance Policy
 - accordingly, a faculty member's inability to attend meetings would be inconsistent with the Board's expectations
 - inability to attend meetings would also negatively impact the member's ability to meet his/her fiduciary obligations
 - since the length of term on the Board is only 3 years, spending a portion of the term on research leave would also negatively impact the member's development as a governor & ability to contribute effectively to the Board
 - serving a portion of his/her term as governor while on research leave would also leave faculty members unrepresented on the Board, which would be a disservice to the faculty and Board
- of the 17 faculty candidates who submitted nominations during the 2018-2019 Board and Academic Council elections, only 3 of the candidates (17.6%) were going to be requesting a research leave during the next 2 years
- Academic Council members are able to request a temporary replacement if serving a 6 month research leave, as they do not hold a fiduciary duty to the university (section 4 of Section II of the Academic Council Handbook provides that if a member of Academic Council is unable to attend meetings due to a teaching or other scheduling conflict for a period **of not more than one term**, she/he may request that a temporary replacement be appointed by the appropriate constituency to serve during the period of the absence)

Faculty Governor Working Group (FGWG)

- in order to address the concerns expressed by the Board faculty members and one of the ineligible nominees, a working group has been formed to review the research leave eligibility requirement & to make a recommendation to GNHR with respect to any proposed amendments to the eligibility requirement
- the members of the FGWG are: Robert Bailey, Jeremy Bradbury, Cheryl Foy and Shirley Van Nuland
- the FGWG will be guided by the following considerations:
 - regular attendance at Board and Committee meetings is required (the limit of missing three meetings is not intended to be permissive, it triggers a review of the Board member's status on the Board)
 - fiduciary obligations
 - the practice of appointing elected faculty for three year terms allows Board members to become familiar with Board operations & then serve as effective Board members - any recommendation should ensure that faculty board members have an opportunity to become familiar with the board & serve effectively
 - minimize disruption & turnover of Board members
 - existing leave restrictions/parameters and the impact of the solution on decanal discretion relating to research leave
 - any recommendation must be consistent with the Act, By-Laws, and governance good practices
- the FGWG had their first meeting on Tuesday, June 19 & all members agreed that it was a very constructive discussion

- the goal is to meet several times over the summer & to arrive at a recommendation by August 30, 2018 for consideration by GNHR at its first meeting in the fall
- GNHR will then recommend proposed policy changes to the Board
- any policy changes will be implemented for the next Faculty Governor election

Administrative Staff Governor Position

- we received 4 nominations for the staff governor position
- one of the nominations was found to be incomplete due to an insufficient number of nominators; when contacted, about the deficiency, the nominee decided to withdraw his nomination
- the election continued with the remaining 3 candidates without any irregularities

Student Governor Position

- we received 10 nominations for the student governor position
- due to a nominee's acclamation in the Academic Council Election, she withdrew from the Board of Governors Election
- another nominee was declared ineligible as a candidate due to failing to attend the mandatory candidate information session
- when contacted about the deficiency, the candidate advised that due to personal reasons, he would be withdrawing from the election
- the election continued with the 8 remaining candidates
- during the campaign period, a question was raised about a Facebook event being created from an existing Facebook page, which would have been inconsistent with the Election Procedures; upon investigation, it was found to have been created from a new Facebook page & to be compliant with the Election Procedures

COMPLIANCE WITH POLICY/LEGISLATION:

- this is compliant with the committee's Terms of Reference & the Board of Governors Procedures for the Election of Faculty, Non-Academic Staff & Student Governors

NEXT STEPS:

- the Office of the University Secretary & General Counsel will notify the candidates of the Board's decision

MOTION FOR CONSIDERATION:

That pursuant to the recommendation of the Governance, Nominations & Human Resources Committee, the Board of Governors hereby approves the appointment of the following individuals to the Board of Governors:

- *Liqun Cao and Ferdinand Jones as the Teaching Staff Governors for the term of September 1, 2018 until August 31, 2021;*
- *Mark Neville as the Administrative Staff Governor for the term of September 1, 2018 until August 31, 2021; and*

- *Jessica Nguyen as the Student Governor for the term of September 1, 2018 until August 31, 2019.*

April 12, 2018

Board of Governors
University of Ontario Institute of Technology

Certificate of the Chief Electoral Officer – Board of Governors Election 2018-2019

As the Chief Electoral Officer for the Board of Governors elections for the University of Ontario Institute of Technology (UOIT), 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 Representatives 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 voting results, I hereby certify to the Board of Governors that:

- Teaching Staff members **Liquan Cao** and **Ferdinand Jones** were eligible to run as candidates and were properly acclaimed as Teaching Staff Governors on the UOIT Board of Governors for the term of September 1, 2018 to August 31, 2021.
- Administrative Staff member **Mark Neville** was eligible to run as a candidate and was properly elected as the Administrative Staff Governor on the UOIT Board of Governors for the term of September 1, 2018 to August 31, 2021.
- Student member **Jessica Nguyen** was eligible to run as a candidate and was properly elected as the Student Governor on the UOIT Board of Governors for the term of September 1, 2018 to August 31, 2019.

Becky Dinwoodie
Chief Electoral Officer
Assistant University Secretary



BOARD REPORT

SESSION:

Public ☒
 Non-Public ☐

ACTION REQUESTED:

Decision ☒
 Discussion/Direction ☐
 Information ☐

TO: Board of Governors

DATE: June 27, 2018

PRESENTED BY: Karyn Brearley, Chair of GNHR

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: 2018-2019 Board Leadership & Committee Composition

COMMITTEE MANDATE:

As set out in the terms of reference, it is GNHR's responsibility to:

- oversee the nomination and election of a Chair and Vice-Chair from among the external governors of the Board; and
- assess the leadership needs of the Board, and in consultation with committee chairs, recommend chair and individual member assignments for each of the standing committees.

BACKGROUND/CONTEXT:

Board Leadership

In accordance with Section 8(13) of the *UOIT Act*, the Board Chair and Vice-Chair(s) shall be elected on an annual basis. The Recruitment, Appointment and Leadership Policy ("Policy") provides that there will be one (1) Chair who will normally be nominated and elected from the incumbent Chair or Vice-Chairs. An incumbent Chair will have the opportunity to express interest in re-election to the Chair position, provided such person is within the normal term length for an External Governor. The Policy also provides that there will be two (2) Vice-Chairs who will normally be nominated and elected from the incumbent Vice-Chair(s) or Committee Chairs. The incumbent Vice-Chair(s) will have the opportunity to express interest in re-election to the Vice-Chair position, provided such person is within the normal term length for External Governors.

The term of the Board Chair, Doug Allingham, ends on August 31, 2018. At the time of his appointment in June 2017, he expressed his willingness to serve in the role of Board Chair for two years. He has confirmed his interest in being reappointed as Board Chair for 2018-2019.

The incumbent Vice-Chair, N. Allen, has also confirmed his willingness to be reappointed as Vice-Chair for 2018-2019.

In the time since GNHR met on May 31, 2018, regrettably K. Brearley has given notice that she will be resigning from the Board effective August 31, 2018. Accordingly, nomination of a successor Vice-Chair will be added to GNHR's work plan for 2018-2019.

Since no other Board members have expressed interest in serving in the Board Chair or Vice-Chair positions, these nominations are being treated as unopposed.

Committee Leadership

Section 10.2 of the Policy stipulates that Committee Chairs will normally be recruited from within the incumbent External Governors. External Governors will have an opportunity, on an annual basis, to express interest in Committee Chair positions. Further, Committee Chairs will be selected from members who have demonstrated a high degree of commitment to the University, the Board and its Committees and who meet the desired skill and competency profile for leadership of the respective Committee for which they are being considered.

We canvassed the current Committee Chairs to confirm their willingness to stand for re-election and Nigel Allen and Stephanie Chow confirmed their interest in continuing to serve in the role.

With the departures of V. Wafer and K. Brearley from the Board, the Strategy & Planning Committee (S&P) and GNHR require a new Chair. Thorsten Koseck has agreed to serve as the S&P Chair. Given the timing of K. Brearley's resignation, a successor Chair of GNHR will be sought and appointed over the summer. If you are interested in serving as the Chair of GNHR, please let the Board Chair know.

Given the recruitment process that will take place over the summer months, we recommend no changes to the Committee composition of Audit & Finance, GNHR, Investment, and S&P, as set out in the attached.

COMPLIANCE WITH POLICY/LEGISLATION:

- Section 8(13) of the UOIT Act
- Board Recruitment, Appointment and Leadership Policy

NEXT STEPS:

1. The Office of the University Secretary & General Counsel (USGC) will canvass the Board for interest in succeeding K. Brearley as Chair of GNHR.

MOTION FOR CONSIDERATION:

That the Governance, Nominations and Human Resources Committee recommends approval of the following by the Board of Governors:

1. *Reappointment of Doug Allingham as Chair of the Board for 2018-2019;*
2. *Reappointment of Nigel Allen as Vice-Chair of the Board for 2018-2019;*
3. *Appointment of the following Board members to the positions of Chair of the specified Committee for 2018-2019:*

<i>Nigel Allen</i>	<i>Audit & Finance</i>
<i>Stephanie Chow</i>	<i>Investment</i>
<i>Thorsten Koseck</i>	<i>Strategy & Planning</i>
<i>TBD</i>	<i>GNHR</i>

4. *Approval of the proposed 2017-18 Committee Assignments, as attached.*

SUPPORTING REFERENCE MATERIALS:

- Proposed 2018-2019 Committee Assignments



**BOARD OF GOVERNORS
AUDIT & FINANCE COMMITTEE**

**MINUTES OF THE MEETING OF APRIL 26, 2018
PUBLIC SESSION
12:30 p.m. – 2:10 p.m., ERC 3023**

Attendees: Nigel Allen (Chair), Jeremy Bradbury, Steven Murphy, Dietmar Reiner

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

Regrets: Fardan Ali, Doug Allingham, Stephanie Chow, Mary Simpson

Guests: Mike Eklund (UOIT FA), Christine McLaughlin (UOIT FA)

1. Call to Order

The Chair called the meeting to order at 12:31 p.m.

2. Agenda

Upon a motion duly made, the Agenda was approved as presented.

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Approval of Minutes of Meetings of February 21, 2018

Upon a motion duly made by D. Reiner and seconded by N. Allen, the Minutes were approved as presented.

5. Chair's Remarks

The Chair welcomed S. Murphy to his first Audit and Finance Committee meeting – the Board is happy to have him here. The Chair invited guests to introduce themselves.

6. President's Remarks

Pilot Agenda Format

The President discussed the new pilot agenda format. The goals of the new format are to increase transparency and reduce duplication. He welcomed the committee's feedback on the format. It will also be discussed with the Board as a whole.

Moving Ground Plane

The President updated the committee on the installation of the moving ground plane (MGP), which is currently being stored in a hangar. When installed, the MGP will make the ACE wind tunnel a one-of-a-kind facility. While the university awaits government funding for the project, the President has instructed the project team to be shovel ready so that they can move quickly when they get the green light.

7. SIRC Building Construction Project

C. Elliott confirmed that the SIRC Building project is winding down. There remain some warranty clean up items to be done. The exterior graphics for the penthouse cannot be put up until the temperature reaches 12 degrees. The final audit requirements from the Ministry are still being discussed. Once completed, the project close out report can be finalized.

(J. Bradbury arrived at 12:38 p.m.)

8. Finance

8.1 2018-2019 Budget

C. Elliott delivered the budget presentation. He highlighted the consultation process that the draft budget underwent. R. Bailey reviewed the strategic choices included in the budget. He presented several examples of how the budget items align with the university's Strategic Plan. R. Bailey discussed the partnership that the university is launching with OCADU, which is included in the \$1.3M allocated to "partnerships that increase student and programmatic diversity." Several choices involve opportunities for future funding. While unable to provide additional support to certain initiatives this year, the initiatives will be considered for future funding:

- supporting student engagement;
- attracting & retaining highly qualified personnel;
- university recognition/reputation;
- organizational effectiveness;
- technology; and
- space, infrastructure & capital refurbishment.

R. Bailey clarified that these items are already being funded, but that there are opportunities for increased investment.

While presenting the overall draft 2018-2019 budget, C. Elliott noted that it is a balanced budget. He showed a graph demonstrating that the overall budget has increased by \$11.2M (6.1%). The largest revenue increase is derived from tuition (\$5.7M). He noted that the decrease in prior year reserves is a result of the decrease in TELE reserves. He also presented a snapshot of the budget expense increase. Out of the \$11.2M increase in expenses, \$10M is allocated to full time and part time labour. He noted that in prior years, the funds allocated to library subscriptions had been reduced and are being put back into the library's budget.

C. Elliott reviewed the 2018-2019 estimated internally restricted fund schedule, focusing on the 2017-2018 budget forecast. There was a brief discussion regarding the roles of the Academic Council Executive Committee and Academic Council in the budget consultation process, particularly with respect to the strategic priority of faculty hiring. R. Bailey advised that the strategic choices of faculty hiring/renewal come directly from the Integrated Academic Plan. The Integrated Academic Plan directly informs the budgeting process. A concern was expressed about ensuring the voice of faculty is heard and incorporated into strategic academic planning and the budget planning process. R. Bailey confirmed that as Provost, one of his priorities is ensuring the faculty perspective is included in the budget planning process. They have been as transparent as possible at Academic Council during the budget consultation process.

Upon a motion duly made by N. Allen and seconded by D. Reiner, the Audit and Finance Committee recommended the 2018-2019 budget, as presented, to the Board of Governors for approval.

8.2 10-Year Financial Plan

C. Elliott reviewed the updated 10-year financial forecast. He advised that the new baseline for 2018-2019 is approximately \$13M less than previously forecast. The forecast reflects the increased revenue from items discussed during the budget presentation. There is approximately \$1.5M per year that can be allocated towards strategic initiatives.

8.3 Tuition & Ancillary Fees

2019-2020 Tuition Fees

B. MacIsaac summarized the tuition discussion at last meeting, as well as the report included in today's meeting material. He advised that in arriving at the proposed tuition fees, consideration was given to remaining competitive with other Ontario institutions and whether the tuition fees for graduate students should be reduced. As the Ministry has not yet distributed its framework for 2019-2020, the university is basing its recommendations on a rollover of the existing framework. If there is a change to the Ministry's framework for 2019-2020, amendments to the proposed tuition fees might be required. The graduate student support taskforce is still working on the matter, as consultation takes time.

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

Ancillary Fees

B. MacIsaac reviewed the report on the 2019-2020 ancillary fees. The university is still awaiting confirmation of the amounts for the UPASS and Health Plan. In response to a question regarding the ancillary fee for the Faculty of Engineering & Applied Science (FEAS), B. MacIsaac advised that FEAS is still part of the laptop and software TELE program and that one of the pieces of software increased in cost more than others.

Upon a motion duly made by N. Allen and seconded by D. Reiner, the Audit and Finance Committee recommended the 2019-2020 ancillary fees, as presented, for approval by the Board of Governors.

9. Policy

9.1 Contract Management & Signing Authority

S. Murphy provided an update on the review and amendment of the Contract Management and Signing Authority Policies. The exercise is almost concluded and the amendments are being made to ensuring there is appropriate authority in place across the institution. Louis Charpentier, the governance consultant working on the review, has conducted a lot of work on the policy and the review is in the final stages of implementation.

10. Other Business

11. For Information:

- **Compliance Update: Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence – Annual Report**

12. Termination

There being no other business, upon a motion duly made by J. Bradbury and seconded by D. Reiner, the public session of the meeting adjourned at 1:30 p.m.

Becky Dinwoodie, Secretary



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

**Public Session Minutes for the Meeting of April 19, 2018
10:00 – 11:25 a.m., ERC 3023**

Attendees: Karyn Brearley (Chair), Doug Allingham, Lisa Edgar, Andrew Elrick (*via teleconference*), Francis Garwe (*via teleconference*)

Staff: Robert Bailey, Jamie Bruno, Becky Dinwoodie, Cheryl Foy, Doug Holdway, Niall O'Halloran, Olivia Petrie

Guests: Mike Eklund and Kimberly Nugent (*UOIT FA*)

Regrets : Jay Lefton

1. Call to Order

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

2. Agenda

Upon a motion duly, 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 February 7, 2018

Upon a motion duly, the Minutes were approved as presented.

5. Chair's Remarks

The Chair welcomed the President to his first GNHR meeting. She kept her remarks brief to allow additional time for discussion.

6. President's Remarks:

Pilot Agenda Format

The President discussed the pilot agenda format that was recently introduced. The goals of combining the public and non-public items into one agenda are to reduce duplication, streamline material and promote transparency.

He provided an update on the Executive Compensation Plan. There remains some uncertainty as to whether the government will act on the plans prior to the election. Having an approved compensation plan would be helpful in the recruitment of the next Provost and Vice-President, Academic, and Vice-President Responsible for Research.

(A. Elrick joined at 10:05 a.m. and F. Garwe joined at 10:06 a.m.)

Board Recruitment

The President discussed the advisory board recruitment approach used at Ryerson, which was a successful recruiting strategy, as well as an effective method of engaging community members with the university. A member asked how the committee could assist with the recruitment strategy. The President advised that the university would need to retain a consultant to effect such a strategy.

Upon a motion duly made by L. Edgar and seconded by D. Allingham, the Governance, Nominations & Human Resources Committee supported the proposed approach to recruitment.

7. Governance

7.1 By-law No. 2 Implementation:

- **Academic Council Governance Committee**

C. Foy presented the draft Terms of Reference (ToR) for the Academic Council Governance and Nominations Committee (GNC) for feedback. The ToR were presented to Academic Council for consultation on Tuesday and Council expressed support for them. C. Foy shared that a member of Council asked whether an election process to select members of the committee would be more appropriate. She explained that the rationale for recommending a selection process is to ensure the ability to appoint diverse members to the committee. C. Foy discussed the benchmarking process used to develop the ToR. The operation and structure would be very similar to GNHR. One of the first tasks for the new committee would be to review the terms of reference for all other Academic Council committees. She explained the rationale for the President being the Chair of the GNC, as he is a member of both governing bodies and can serve as an effective link between the two.

There was some discussion at the Academic Council Executive Committee about the quorum requirement. The Chair commented that she prefers a simple majority (50% + 1) to provide clarity.

GNHR had a discussion regarding the number of meetings per year. A suggestion was made to revise it to "shall meet between 6 and 8 times per year, or otherwise at its discretion."

C. Foy reviewed the approval path and the ToR will return to GNHR for recommendation in May.

7.2 Annual Board Practices Assessment

B. Dinwoodie summarized the report that was included in the meeting material. She highlighted the response rate using the different methods over the past few years. The committee supported completing the 2017-2018 assessment by e-mail again this year. They also encouraged following up with Board members to try to increase the response rate.

7.3 Policy:

(a) Policy Framework Review

C. Foy delivered a presentation providing an overview of the Policy Framework Review results to date. They have been receiving rave reviews on the new Appendix A. There has also been feedback that the updated Appendix provides more clarity.

She clarified the role of the University Administrative Council in the Policy Framework and how it is replacing the Senior Leadership Team in the Framework. There was a discussion regarding how a change is categorized as being editorial. A comment was made about some confusion regarding the two local approval authorities and N. O'Halloran explained the difference between the local authorities.

The committee agreed that the updated Appendix A makes things more clear. There was a discussion regarding the benefit of having faculty members' perspective on the Policy Advisory Committee (PAC). The committee also discussed the time required for appropriate consultation. C. Foy advised that they are considering making PAC agendas public to keep the community informed of the status of policies coming forward.

The committee reviewed the delegation of authority chart. There was some concern that it is too long. While it might not be helpful to the general public, it could serve as a good guide for PAC and policy developers. A member commented that the delegation of authority chart is part of a good risk management strategy and it is better to start with too much than not enough.

C. Foy explained the alignment of the Framework with the Board's duty to consult under the *UOIT Act*. External counsel was consulted to ensure the Policy Framework aligns with the *Act* and By-laws. The Framework amendments include mandatory online consultation with Council on administrative policies to keep Council's focus at a strategic level.

The committee members supported the proposed changes.

(b) Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence – Annual Report

O. Petrie provided an overview of the report that was provided in the meeting material, including reviewing the university's legal reporting requirements. She explained that students prefer to see the university's counsellors and, as a result, they hired two additional counsellors. She also

discussed the prevention strategies used throughout the year. She reviewed the number of disclosures, formal complaints, and reports to the police, which includes historical incidents. O. Petrie advised that the university is providing support to students regardless of when the incident happened.

O. Petrie confirmed that an advisory committee has been established, which has taken on the review of the policy. Additional consultation on the policy is planned for the summer and fall. There was a discussion regarding the difficulty of comparing UOIT's numbers to those of other institutions. R. Bailey advised that since the Board will receive this report annually, comparing the reports could be helpful with assessing the impact of the procedures and support provided. O. Petrie added that there is communication among senior administrators across institutions about the issue. A question was raised about whether there has been an increase in reporting as a result of the #metoo movement. R. Bailey clarified that the report covers the same period.

8. Nominations

8.1 Board 2018-2019 Election Results & Update

C. Foy provided an overview of the 2018-2019 election results. She summarized the concerns raised related to the research leave eligibility requirements for the Faculty governor positions, which were also described in the relevant report. She explained the rationale for the eligibility requirement for faculty Board members. The recommendation was to proceed with the election results and implement any changes to the policy in the next election. The committee supported the direction taken with respect to the faculty governor research leave eligibility requirement.

Upon a motion duly made by L. Edgar and seconded by A. Elrick, pursuant to the 2018-2019 Board of Governors Election results, the Governance, Nominations & Human Resources Committee recommended the appointment of the following individuals to the Board of Governors for approval:

- *Liqun Cao and Ferdinand Jones as the Teaching Staff Governors for the term of September 1, 2018 until August 31, 2021;*
- *Mark Neville as the Administrative Staff Governor for the term of September 1, 2018 until August 31, 2021; and*
- *Jessica Nguyen as the Student Governor for the term of September 1, 2018 until August 31, 2019.*

9. Other Business

10. Adjournment

There being no other business, upon a motion duly made by D. Allingham and seconded by L. Edgar, the public session of the meeting adjourned at 11:06 a.m.

Becky Dinwoodie, Secretary

**Public Session Minutes for the Meeting of February 21, 2018
10:00 a.m. to 10:40 a.m., ERC 3023**

Attendees: Nigel Allen (Chair), Craig Elliott (non-voting), Doug Holdway, Thorsten Koseck, Susan McGovern, John Speers (*via teleconference*), Yowsif Yakub

Staff: Becky Dinwoodie, Cheryl Foy

Guests: Leila Fiouzi and Taylor Woodward from PH&N

Regrets: Doug Allingham, Robert Bailey, Stephanie Chow

1. Call to Order

The Chair called the meeting to order at 10:05 a.m.

2. Agenda

Upon a motion duly made by Y. Yakub and seconded by D. Holdway, the Agenda was approved as presented.

3. Conflict of Interest Declaration

There were no conflict of interest declarations.

4. Chair's Remarks

N. Allen chaired the meeting in S. Chow's absence. He announced that she just welcomed a baby girl and everyone is doing well. The committee offered their congratulations.

The Chair invited everyone to introduce themselves, as it was T. Koseck's first meeting since being appointed to the Board.

5. Approval of Minutes of the Meeting of November 22, 2017

Upon a motion duly made by Y. Yakub and seconded by D. Holdway, the Minutes were approved as presented.

6. Investment Review

6.1 Third Quarter Investment Review

L. Fiouzi presented the results of the third quarter. She reminded the committee that the interest and dividend income from the long-term portfolio get transferred into the short-term portfolio. She also advised that there are no embedded fees. As of the end of December, the portfolio had a higher than usual cash allocation as it had not yet been transferred. She reviewed the allocation of the portfolio's assets and compared it to the asset allocation targets. She also reviewed the distributions for the year. Approximately \$600,000 of portfolio income transferred to cash account.

6.2 Annual Report on ESG (Environmental, Social & Governance)

L. Fiouzi delivered the ESG report. She advised that when evaluating companies, PH&N look at more than just numbers. She used the BP Horizons oil spill as an example of how ESG would have been helpful as a predictor. She also referred to the Volkswagen crisis and explained how the company was exercising poor governance practices leading up to the situation.

L. Fiouzi discussed how PH&N incorporates ESG into its portfolios. ESG is used as another measure to assess whether something is a good investment. Generally, they find that shareholder engagement is a better tool than divestment to try to effect change.

ESG integration and engagement are incorporated into all of their strategies. They do not employ norms-based screening. PH&N has not invested in cannabis stocks yet given the level of uncertainty surrounding it. L. Fiouzi also discussed PH&N's guidelines for proxy voting. A question was raised about whether PH&N has considered investing in companies that related to the production/consumption of cannabis (e.g. Doritos, greenhouses, fertilizers, etc.). L. Fiouzi discussed the difficulties of investing in those types of companies as many are not public or they are too small.

L. Fiouzi presented the 2017 RBC Global Asset Management Responsible Investing Survey Executive Summary. She pointed out the differences between European and North American investors, as well as the key reasons provided for not incorporating ESG. Gender diversity has received a lot of attention and there are varying views on how to approach improving diversity, ranging from shareholder proposals to government regulation.

6.3 Investment Learning – US Tax Reform and Impact on UOIT Portfolio

L. Fiouzi discussed the effects of US tax reform on the portfolio. She reported on the short-term positive effect on GDP growth by growing the deficit. US is exhibiting strong economic growth.

Deregulation

Much of the deregulation started happening in the Obama era. There are multiple components to deregulation:

- Legislative change
- Executive orders

- Change in enforcement
- Not adding new laws

They are not seeing any legislative change on deregulation.

Proposed Tax Cuts

There will be a short-term gain in the US. With the tax changes, Canada's corporate tax rate is now higher than that of the US and might not seem as attractive to foreign investors. The concern is that this will exacerbate inequality.

NAFTA Renegotiation

The highest probability is that there will be no change to NAFTA.

Non-Tariff Barriers

Strong growth in non-tariff trade barriers. The US is clamping down on trade on several fronts. L. Fiouzi responded to questions from the committee.

6.4 Annual Review of Statement of Investment Policies (SIP)

C. Elliott reviewed the SIP and did not recommend any substantive changes, only minor formatting changes.

7. Endowment

7.1 Annual Endowment Report & Endowment Disbursement

C. Elliott reviewed the cumulative investment income summary. He advised that there is \$2.6M available for disbursement for scholarships. Of that amount, a minimum of 3-4% of the investment value (\$500,000) must be distributed. The Disbursement Committee recommended a disbursement of 5%, up to \$750,000 for 2018-2019.

Upon a motion duly made by N. Allen and seconded by T. Koseck, pursuant to the recommendation of the Disbursement Committee, the Investment Committee recommended the disbursement of up to \$750,000 from Endowment Funds for distribution as student awards in 2018-19 for approval by the Board of Governors.

8. Other Business

9. Termination

There being no other business, upon a motion duly made by T. Koseck and seconded by Y. Yakub, the public session of the meeting adjourned at 10:59 a.m.

Becky Dinwoodie, Secretary



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: June 27, 2018

PREPARED BY: Becky Dinwoodie, Assistant University Secretary

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: 2018-2019 Board Schedule

BOARD MANDATE:

- We are seeking the Board's approval of the proposed 2018-2019 Board meeting schedule.

BACKGROUND/CONTEXT & RATIONALE:

- As part of the university's ongoing efforts to improve Board meeting efficiency and governor engagement, and with the support of the Governance, Nominations & Human Resources Committee, we are reducing the number of committee and Board meetings from 5 to 4 per year.
- We also canvassed the returning governors regarding their preferred meeting times prior to developing the draft Board meeting schedule.
- The results of the survey are set out below:

Board Meetings:

9:00 a.m. – 1:00 p.m. = 2

1:00 – 5:00 p.m. = 5

3:00 – 6:00 p.m. = 5

After 6:00 p.m. = 1

Committee Meetings:

9:00 a.m. – 1:00 p.m. = 2

1:00 – 5:00 p.m. = 5

3:00 – 6:00 p.m. = 5

After 6:00 p.m. = 1

- Please note that several governors indicated more than one preferred time, which is why the total number of responses vary.
- Based on these results, we developed the attached Board meeting schedule.
- In anticipation of the large number of new governors, we have included an hour of professional development at the start of each of the first committee meetings of the Board year.

RESOURCES REQUIRED:

- n/a

IMPLICATIONS:

- n/a

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- n/a

ALTERNATIVES CONSIDERED:

- n/a

CONSULTATION:

- Canvassed the returning Board members and the Governance, Nominations & Human Resources Committee.

COMPLIANCE WITH POLICY/LEGISLATION:

- n/a

NEXT STEPS:

- If approved, the Office of the University Secretary will send out calendar invites to the returning governors and new elected governors.

MOTION FOR CONSIDERATION:

That the Board of Governors hereby approves the 2018-2019 Board Meeting Schedule, as presented.

SUPPORTING REFERENCE MATERIALS:

- Draft 2018-2019 Board meeting schedule.

BOARD OF GOVERNORS
DRAFT MEETING SCHEDULE 2018 - 2019

COMMITTEE	DATE	TIME	ROOM
Audit & Finance Committee	November 19, 2018	1:00 - 5:00 p.m.*	ERC 3023
Audit & Finance Committee	February 20, 2019	2:00 - 5:00 p.m.	ERC 3023
Audit & Finance Committee	April 15, 2019	2:00 - 5:00 p.m.	ERC 3023
Audit & Finance Committee	June 10, 2019	1:00 - 5:00 p.m.	ERC 3023
Board of Governors Retreat	November 29, 2018	tbd	
	spring retreat	tbd	
Board of Governors	September 18, 2018	2:00 - 4:00 p.m.	conference call
Board of Governors	November 29, 2018	12:00 - 5:00 p.m.*	DTB 524
Board of Governors	February 28, 2019	12:00 - 5:00 p.m.*	DTB 524
Board of Governors	April 24, 2019	12:00 - 5:00 p.m.*	DTB 524
Board of Governors - AGM	June 26, 2019	9:00 a.m. - 3:00 p.m.	DTB 524
Governance, Nominations & Human Resources Committee	September 11, 2018	9:30 - 11:30 a.m.	conference call
Governance, Nominations & Human Resources Committee	October 11, 2018	1:00 - 5:00 p.m.*	ERC 3023
Governance, Nominations & Human Resources Committee	January 17, 2019	2:00 - 5:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	March 28, 2019	2:00 - 5:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	May 16, 2019	2:00 - 5:00 p.m.	ERC 3023
Investment Committee	November 19, 2018	9:30 a.m. - 12:30 p.m.*	ERC 3023
Investment Committee	February 20, 2019	11:30 a.m. - 1:30 p.m.	ERC 3023
Investment Committee	June 3, 2019	2:00 p.m. - 4:00 p.m.	ERC 3023
Investment Committee	August 14, 2019	10:30 a.m. - 12:30 p.m.	ERC 3023
Strategy & Planning Committee	November 1, 2018	1:00 - 5:00 p.m.*	ERC 3023
Strategy & Planning Committee	January 31, 2019	2:00 - 5:00 p.m.	ERC 3023
Strategy & Planning Committee	April 1, 2019	2:00 - 5:00 p.m.	ERC 3023
Strategy & Planning Committee	May 29, 2019	2:00 - 5:00 p.m.	ERC 3023
OTHER DATES			
Orientation	September 25, 2018	4:30 - 6:30 p.m.	DTB 524
CCOU Conference	TBD		
Convocation	June 6 & 7, 2019		Tribute Communities Centre
*will include breakfast/lunch & professional development session			



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: June 27, 2018

FROM: Doug Allingham, Board Chair

SLT LEAD: Cheryl Foy, University Secretary & General Counsel

SUBJECT: Appointment of Board Secretary for 2018-19

BOARD MANDATE:

- To ensure the annual appointment of the Board Secretary in accordance with Article 5.6 of By-law No. 1.

BACKGROUND/CONTEXT & RATIONALE:

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

MOTION FOR CONSIDERATION:

That the Board of Governors hereby reappoints Becky Dinwoodie as Secretary of the Board of Governors from July 1, 2018 until June 30, 2019.



BOARD REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Board of Governors

DATE: June 27, 2018

FROM: Doug Allingham, Board Chair

SUBJECT: Report of the Board Chair – Summary of Activities

Membership on the UOIT Board of Governors in 2017-18:

Doug Allingham, Board Chair
 Nigel Allen, Chair of Audit & Finance Committee
 Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee
 Stephanie Chow, Chair of Investment Committee
 Valarie Wafer, Chair of Strategy & Planning Committee
 Fardan Ali (Undergraduate Student)
 Robert Bailey, Interim President (January – February 2018)
 Jeremy Bradbury (Faculty)
 Don Duval
 Lisa Edgar (term started November 2017)
 Andrew Elrick
 Francis Garwe
 Thorsten Koseck (term started January 2018)
 Jay Lefton
 Tim McTiernan, President (September – December 2017)
 Steven Murphy, President (March – June 2018)
 Dietmar Reiner
 Bonnie Schmidt
 Mary Simpson
 Mike Snow
 John Speers (term ended March 2018)
 Mary Steele (Staff)
 Noreen Taylor, Chancellor (*ex-officio*)

Shirley Van Nuland (Faculty)
Jim Wilson (Co-Populous) (term started November 2017)
Yowsif Yakub (Graduate Student)

Committee Membership for 2017-18 was as follows:

Executive Committee

Douglas Allingham, Chair and Board Chair
Nigel Allen, Chair of Audit & Finance Committee
Robert Bailey, Interim President (January – February 2018)
Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee
Stephanie Chow, Chair of Investment Committee
Tim McTiernan, President (September – December 2017)
Steven Murphy, President (March – June 2018)
Valarie Wafer, Chair of Strategy & Planning Committee

Audit and Finance Committee

Nigel Allen, Chair
Fardan Ali
Jeremy Bradbury
Stephanie Chow
Dietmar Reiner
Mary Simpson
Craig Elliott, Chief Financial Officer (non-voting)

Governance, Nominations and Human Resources Committee

Karyn Brearley, Chair
Lisa Edgar (term started November 2017)
Andrew Elrick
Francis Garwe
Jay Lefton

Investment Committee

Stephanie Chow, Chair
Thorsten Koseck (term started January 2018)
Yowsif Yakub
John Speers (term ended March 2018)
Craig Elliott, Chief Financial Officer (non-voting)
Susan McGovern, Vice-President, External Relations (non-voting)

Strategy & Planning Committee

Valarie Wafer, Chair
Don Duval
Jay Lefton
Bonnie Schmidt
Mike Snow
John Speers (term ended March 2018)

Mary Steele
 Jim Wilson (term started November 2017)
 Shirley Van Nuland
 Douglas Allingham, Board Chair (*ex-officio*)
 Robert Bailey, Interim President (*ex-officio*)

In total, the UOIT Board and its various standing and ad hoc committees met 35 times in 2017-18.

There were 7 Board meetings comprised of: 5 regularly scheduled meetings of the Board (including the Annual General Meeting) and 2 meetings via conference call.

The Board of Governor meetings were held on:

- October 26, 2017
- December 7, 2017
- February 1, 2018 (conference call)
- March 7, 2018
- May 4, 2018 (conference call)
- May 9, 2018
- June 27, 2018 AGM

Additionally, there was a Board of Governors Retreat on May 16-17, 2018 and 2 Orientation Sessions, which were conducted before the Board meeting in October and on April 30, 2018 for the newest Board members.

The standing and ad hoc committees had a total of 28 meetings which were held as follows:

Committee	Number of Meetings	Meeting Dates
Audit & Finance	5	Oct 12, Nov 22, Feb 21, Apr 26, and June 18
Executive	9	Sept 6, Sept 25, Oct 10, Oct 20, Oct 23, Jan 31, Feb 23, May 3, and May 25
Governance, Nominations & Human Resources	5	Sept 27, Nov 15, Feb 7, Apr 19 and May 31
Investment	3	Nov 22, Feb 21, May 31
Strategy & Planning	3	Oct 16, Jan 24, Mar 28
Committee to Recommend a President	3	Sept 19, Sept 25, Oct 5
Total:	28	

Software & Informatics Research Centre (SIRC)

Project Update Presentation For Audit and Finance Committee - June 18, 2018



Progress Update (as of 4 June, 2018) :

- Builder's deficiency completed
- Five(5) Builder's warranty items to rectify(4 completed this period)
- Network lab final move completed
- Final AV Technical documentations submitted
- Required audit of SIF Project completed by KPMG in May. Audit report pending
- Final Completion report due to MAESD on July 31, 2018
- Electric Car charging station installed at the east side of SIRC
- Exterior graphics installation on Penthouse scheduled for 060918

Site Safety:

- No incident on site this period

Financial Summary:

- Total SIF funding received \$13M
- Final project cost \$31.4M
- Project budget underspent of \$1.9M
- Breakdown of Sources and Uses of funds next slide.

Summary Financial Report as of 4 June, 2018

CASH FLOW REPORT FOR MONTH ENDING MAY 2018

Sources of Funds													
Description	Actuals May 2018	Budget May 2018	Actual YTD	Budget YTD	Variance	Source of Funds Comments	Total Funding Budget	Total Actual YTD	Forecasted Funding Required	Funding at Completion	Variance		
							A	B	C	B+C = D	D-A		
UOIT	\$0	\$0	\$17,722,964	\$19,986,182	-\$2,263,218	Variance due to SIF grant received higher than planned and the unused contingency	\$20,298,110	\$17,722,964	\$613,227	\$18,336,191	-\$1,961,918		
SIF	\$0	\$0	\$13,001,890	\$11,525,236	\$1,476,654	100% SIF grant received	\$13,001,890	\$13,001,890	\$0	\$13,001,890	\$0		
Advancement	\$0	\$0	\$0	\$0	\$0	Advancement funds have not officially been committed to the project.	\$0	\$0	\$0	\$0	\$0		
Totals	\$0	\$0	\$30,724,854	\$31,511,419	-\$786,564	See variance explanation below	\$33,300,000	\$30,724,854	\$613,227	\$31,338,081	-\$1,961,918		
Uses of Funds - Trend Line													
Description	Actuals May 2018	Budget May 2018	Actual YTD	Budget YTD	Variance	YTD Variance Explanation	Milestone	Date	Total Budget	Total Actual YTD	Estimate to Complete	Estimate at Completion	Variance
									A	B	C	D = B+C	D-A
GMP Base Contract	\$0	\$0	\$20,218,346	\$20,218,346	\$0	Phase 1 completed. Fully invoiced. Balance 2% Warranty Holdback.	Substantial Completion	Completed	\$20,630,966	\$20,218,346	\$412,620	\$20,630,966	\$0
CO3 GMP Fl. 3&4	\$0	\$0	\$5,527,374	\$5,527,374	\$0	Phase 2 completed. Remaining HB added to 2% Warranty HB	Substantial Completion	Completed	\$5,657,627	\$5,527,374	\$130,253	\$5,657,627	\$0
CO1 Fl. 3&4 Design	\$0	\$0	\$87,899	\$87,899	\$0	Work completed.Fully Invoiced	Complete	Completed	\$87,899	\$87,899	\$0	\$87,899	\$0
CO2 Transformer	\$0	\$0	\$107,826	\$107,826	\$0	Work completed. Balance 2% Warranty HB.	Pow er-on	Completed	\$110,026	\$107,826	\$2,200	\$110,026	\$0
CO4 Donor Signage	\$0	\$0	\$8,749	\$8,749	\$0	Work completed. Balance 2% Warranty HB.	Complete	Completed	\$8,928	\$8,749	\$178	\$8,928	\$0
CO5 Door Operators	\$0	\$0	\$197,020	\$197,020	\$0	Work in completed. Balance 2% Warranty HB.	Substantial Completion	Completed	\$0	\$197,020	\$4,021	\$201,041	\$201,041
Design	\$0	\$0	\$310,230	\$310,230	\$0	Work completed. Fully Invoiced.	Complete	Completed	\$310,230	\$310,230	\$0	\$310,230	\$0
FFE	\$0	\$0	\$2,679,468	\$2,704,567	-\$25,099	Actual invoice for the Fibre work from Library to Wiley.	Substantial Completion	6/30/2018	\$3,619,350	\$2,679,468	\$63,955	\$2,743,423	-\$875,927
Consultants	\$0	\$0	\$405,431	\$421,231	-\$15,800	Ministry Signage invoice low er than budgetted.	NA	NA	\$300,749	\$405,431	\$0	\$405,431	\$104,682
Parking	\$0	\$0	\$1,003,302	\$1,028,071	-\$24,769	Certified work completed less than the contract aw ard value.	Substantial Completion	Completed	\$1,018,975	\$1,003,302	\$0	\$1,003,302	-\$15,673
Contingency	\$0	\$0	\$0	\$707,908	-\$707,908	No contingency has been used to date. Contingency was forecasted for the months of July/August/September to allow for any unknow n items that could have arisen during early construction.	NA	NA	\$1,271,666	\$0	\$0	\$0	-\$1,271,666
Management Fees	\$0	\$0	\$179,209	\$192,198	-\$12,989	Miscellaneous disbursement and salary variance	NA	NA	\$283,585	\$179,209	\$0	\$179,209	-\$104,376
Totals	\$0	\$0	\$30,724,854	\$31,511,419	-\$786,564				\$33,300,000	\$30,724,854	\$613,227	\$31,338,081	-\$1,961,918



COMMITTEE REPORT

SESSION:

Public
Non-Public

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ACTION REQUESTED:

Decision
Discussion/Direction
Information

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TO: Audit and Finance Committee

DATE: June 12, 2018

FROM: Cheryl Foy, University Secretary and General Counsel

SLT LEAD: Cheryl Foy, University Secretary and General Counsel

SUBJECT: Policy and Compliance Update

COMMITTEE/BOARD MANDATE:

- The Audit and Finance Committee is responsible for receiving regular reports on regulatory compliance and policy development and compliance at the University.

BACKGROUND/CONTEXT & RATIONALE:

- The purpose of this Report is to provide the Committee with an update on the status of Policy and Compliance activities and progress against goals and objectives as outlined in last year's report on June 12, 2017.
- A PowerPoint presentation will be made to the Committee. This presentation will provide the Committee with an update on the Goals and Objectives and metrics related to Policy and Compliance activities, and provide the Committee the opportunity to comment on its sufficiency and direction.

COMPLIANCE WITH POLICY/LEGISLATION:

- The report considers the University's compliance obligations under the Freedom of Information and Protection of Privacy Act, Canada's Anti-Spam Law, Accommodation for Ontarians with Disabilities Act and policy instruments in development under the UOIT Policy Framework.

NEXT STEPS

- Review the Report and the Presentation and highlight concerns, provide comments and direction.

SUPPORTING DOCUMENTATION

- List of Policy Projects in Progress

List of Policy Projects in Progress**Date: June 7, 2018****Priority Projects: Office of the University Secretary and General Counsel**

Title	Unit	Policy Lead	Type of Project	Category	Status
Contract Management & Signing Authority	USGC	Cheryl Foy / Craig Elliot	Substantive Amendment	LCG	Consultation
University Continuity Management	USGC	Jacqueline Dupuis	New	LCG	Consultation
Intellectual Property	Research	TBD	Amendment	LCG	Consultation
Code of Ethics and Conduct	USGC	TBD	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	Consultation
Student Judicial Committee	OSL	Olivia Petrie	New	LCG	Consultation
Student Sexual Violence	OSL	Olivia Petrie	Review	LCG	Consultation

Other Policy Projects in Development

Title	Unit	Policy Lead	Type of Project	Category	Status
Animal Care Policy	Research	Janice Moseley	Substantive Amendment New PI	LCG	Consultation
Research Ethics	Research	TBD	Substantive Amendment	LCG	Initial Consult
Flag Usage	C&M	Melissa Levy	New	ADM	Deliberation
Poster	C&M	John MacMillan	New	ADM	Consultation

Title	Unit	Policy Lead	Type of Project	Category	Status
Responding to the Death of a Student	C&M	Melissa Levy	Substantive Amendment	ADM	Initial Consult
Administrative Leave	HR	Krista Secord	New	ADM	Consultation
Review of Alleged Breach of Confidentiality	HR	TBD	New	TBD	Consultation
Parental Leave and Supplementary Unemployment Benefit	HR	Joanne Evans	Substantive Amendment	ADM	Consultation
Academic Integrity	TLC	Rupinder Brar	Substantive Amendment	LCG	Consultation
Procurement	Finance	Kevin Jones	Amendment	LCG	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
Convocation Arrangements - Graduand Family Member	RO	Kristen Boujos	New	ADM	Drafting
Smoke Free Campus	HR	Dave Roger	Substantive Amendment	ADM	Drafting
Access to Labs *	FBIT	Andrew Hogue	New	TBD	Initial Consult
Administrative Unit Review	CIQE	Nichole Molinaro	New	TBD	Initial Consult
Cannabis Legalization	HR	Joanne Evans	New	ADM	Initial Consult
Health Record Access and Custody	USGC	Niall O'Halloran	New	LCG	Initial Consult
Recording of Lectures *	FBIT	Cyndi Hillis	New	TBD	Initial Consult

Title	Unit	Policy Lead	Type of Project	Category	Status
Research Volunteer	TBD	TBD	New	ADM	Initial Consult
Gender Identification	RO	TBD	New	TBD	Initial Consult
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
Volunteer	TBD	TBD	New	TBD	Parking Lot
Fitness to Study	OSL	TBD	New	TBD	Parking Lot
Halloween Attire		TBD	New	TBD	Parking Lot
Medical Notes	RO	TBD	New	TBD	Parking Lot
Meeting with Students	TBD	TBD	New	TBD	Parking Lot
Umbrella Policy on Violence, Sexual Violence, Harassment and Discrimination		TBD	New	TBD	Parking Lot
Video Surveillance Policy		TBD	New	TBD	Parking Lot
Workplace Accommodations for Employees with Disabilities	HR	TBD	New	TBD	Parking Lot

Annual Policy Review and Compliance Update

Presented to: Audit & Finance Committee

By: Cheryl Foy

Date: June 18, 2018

Resources (continuing)

	2014-15	2015-16	2016-17	2017-18	2018-19
Policy	0.5	0.5	0.5	0.5	0.5
Compliance	0.5 *	0.5 *	0.5**	0.5**	0.5**

***Contracts and Records Management Project Coordinator was an additional resource on limited term contract.**

****Increased reliance on outside counsel for Access to Information requests and appeals**

Metrics

	2014-15	2015-16	2016-17	2017-18
Policy Support	41	46	22	65
Privacy and RM Advice Requests	-	17	20	42
Units provided Privacy Training	6	3	1	10
Access Requests	12	11	16	8
Privacy Breaches	3	1	9	14
Affected individuals	-	-	71	415

Policy Instruments: 2016-2017

The following chart details the policy instruments that the University Secretary's Office has provided resources and support for through 2016-2017

Research & Drafting 6 Policy Instruments	Substantive Review & Recommendations 11 Policy Instruments	Consultation & Advice 5 Policy Instruments
<ul style="list-style-type: none"> • By-Law review • Fair Processes Policy <ul style="list-style-type: none"> • Investigation Procedures for Student Non-Academic Misconduct** • Student Judicial Committee Procedures** • Workplace Violence Harassment and Discrimination Policy and Procedures • Code of Ethics and Conduct 	<ul style="list-style-type: none"> • Non-Academic Staff Policies • Examination and Grading Policy <ul style="list-style-type: none"> • Procedures for Consideration of Missed in-term Course work and Examinations • Final Examination Administration Procedures • Residual Funds and Internal Direct Costs of Research Procedures • Student Sexual Violence Policy • Non-Union Academic Staff Employment Policy • Framework for Limited Term Academic Associates • Deans, Associate Deans, Faculty Governors Procedures • Working Alone Procedures • Risk Assessment Guidelines for Working Alone 	<ul style="list-style-type: none"> • Smoke Free Campus • Procurement of Goods and Services Procedures • Communications Policy** • Poster Procedure** • Intellectual Property Policy**

**Policy instruments marked with an asterisk are in progress

Policy Instruments: 2017-2018

This chart details policy instruments for which the office of the USGC has provided resources and support through 2017-2018. A list of ongoing policy projects was distributed. * denotes an approved policy instrument.

Research & Drafting 8 Policy Instruments	Substantive Review & Recommendations 28 Policy Instruments	Consultation & Advice 29 Policy Instruments
Policy Framework and Procedures	Contract Management and Signing Authority Policy and Procedures	Provost and VP Academic and VP Research Appointment Procedures (2)*
Policy Review Guidelines	Intellectual Property Policy	Research Ethics Policy
Alternate Pathways Policy – Ontario Colleges*	Service Animal Procedures*	Amendments to Academic Regulations (8) *
University Continuity Management Policy	Poster Procedure	Student Sexual Violence Policy
Review of an Alleged Breach of Confidentiality Directive	Academic Employment (Policy and 2 Procedures) *	Responding to the Death of a Student
Code of Ethics and Conduct	Policy Response to Cannabis Legalization	Student Conduct Policy and 3 procedures
Health Record Access and Custody Directive	Administrative Staff Policies Amendments (4) *	Payments to Research Participants
	+16 other instruments	+11 other instruments

Policy (2017-2018 Objectives)

- Completion of the By-Law Review Project
- Development of:
 - Online resources to support capacity building in policy instrument development.
 - Communication tools to support effective and efficient policy consultation and implementation.
- Evaluation of the Policy Framework
- Establish and implement a review cycle for existing policy instruments.

Policy (2017-2018 Objectives)

- Development of:
 - Education workshop reflecting Policy Framework amendments.
 - Supporting guidelines and tools for Policy Review, Drafting, Consultation
- Work with Academic Council to define Academic Policy Instrument approvals in the context of By-Law 2 implementation.
- Identify, collect and establish a repository and reporting on Local Policy Instruments.
- Support policy owners and policy leads in navigating the process.
- Establish and implement a review cycle for existing policy instruments.

FIPPA Compliance: 2017-18

The following information relates to the period of June 1, 2017 – May 31, 2018. Privacy information is tracked based on calendar year for reporting to the Information and Privacy Commission (IPC).

Access to Information Requests	16-17	17-18	Privacy Breaches	16-17	17-18	Education and Consultation
General <i>Request for general information</i>	10	3	Incidents and Investigations <i>UOIT investigated incidents that may affect privacy</i>	9	14	Education sessions provided to personnel in 10 units <i>All faculties Admissions Student Accessibility University Works</i>
Personal <i>Request for own personal information</i>	6	5	Affected Individuals <i>Individuals UOIT notified under FIPPA</i>	71	415	Consultations were provided for 42 requests
Appeals <i>Requester appeals UOIT's decision to the IPC</i>	5	4				
Third Party Notification <i>Request at another institution affects UOIT</i>	0	3				

Privacy Compliance (2017-2018 Objectives)

- Development of training resources to support access and privacy education;
 - Identify key departments for ongoing training;
 - Creation of online tools and educational resources.
- Privacy risk assessment with Service Areas and Faculties
- Consultation, amendment and development of supporting Privacy Policies and Procedures.
 - Develop procedures and guidelines for responding to issues such as privacy breaches, requests for personal health information, requests for student information on compassionate grounds.

Privacy Compliance (2017-2018 Objectives)

- Development of training resources to support access and privacy education;
 - Begin development of mandatory FIPPA training program for new hires, and schedule for annual unit training
 - Continue development of online tools and educational resources.
- Privacy risk assessment with Service Areas and Faculties
- Consultation, amendment and development of supporting Privacy Policy Instruments.
 - Develop procedures and guidelines for responding to issues such as privacy breaches, requests for personal health information, requests for student information on compassionate grounds.

Legislative Compliance

AODA

- Worked with key stakeholders from across the University to meet the University's accessibility compliance reporting requirements. Successful completion of the Accessibility Compliance Report in December.
- Updated structure and terms of reference of AODA Working Group
- Ongoing work for 2017 - 2018 will include a review of the University's Multi-Year Accessibility Plan.

CASL

- Providing ongoing consultation and advice to key stakeholders regarding the application of CASL requirements.

Records Management: 2017-2018

FIPPA amended January 1, 2016. Institutions must develop reasonable measures to meet all internal and external recordkeeping or retention requirements. Measures include written policies, records retention schedule & training to manage records.

Trends

- Identified a need for role and system-specific RM support. Inconsistent RM between e.g. Advisors affects student experience and creates compliance risk.
- Identified a knowledge gap around destruction of paper source records after scanning.
- Insufficient resources within units to carry out necessary RM activities.

Disposition of Records

- Provided one on one support for disposal of paper source records after scanning.
- Disposal of eligible paper records in Student Records, Admissions, Faculty of Education.
- Disposal of **5 TB** of electronic records from UOIT's LMS.

Awareness, Education & Resources

- Conducted education sessions for:
- Faculty of Science
- Faculty of Social Science and Humanities
- Information Technology Services
- Academic Advisors (all faculties)

Records Management (2017-2018 Objectives)

- Identify and train Records Management Liaisons in remaining units to manage paper records in compliance with FIPPA.
 - Provide education sessions and individual instruction on records management and disposal.
- Coordinate inventory and disposal of eligible paper records per the RCRS.
- Ensure that procedures and guidelines to support the transition away from paper-based records are being implemented.
 - Work with Human Resources and other units to complete compliant scanning and disposal processes and to configure automated retention based on the RCRS.
 - Implement guidelines for disposing of original source documents after scanning.
- Evaluate training and procedure gaps for recordkeeping in electronic systems.
- Support the ongoing Banner Document Management System implementation project.

Contract Management Database: 2017-2018

- Current user groups* (# of contracts) :
 - Research Services **(1050)** / **(+242)**
 - Office of Student Life **(81)** **(+81)**
 - Procurement **(28)**
 - Office of the General Counsel **(289)**
 - Includes contracts from Services, Faculty of Health Science, Faculty of Social Science and Humanities.
 - Policy **(111)** / **(+9)**
 - Total contracts/policies **(1623)** / **(+372)**
 - * (+2 user groups from prior year)
- Contract types
 - Institutional Collaboration **(316)**
 - Research Agreements **(718)**
 - Intellectual Property **(99)**
 - Employment **(68)**
 - Goods/Services **(43)**
 - Financial Agreements **(8)**
 - Real Property/Leases **(8)**
- 2018 focus:
 - Expand functionality to additional user groups.
 - Use system to track certificates of insurance.
 - Use system to track policy review schedule.

General Comments

- Q&A



COMMITTEE REPORT

SESSION:

Public
Non-Public

☒
☐

ACTION REQUESTED:

Decision
Discussion/Direction
Information

☐
☐
☒

TO: Audit & Finance Committee

DATE: June 18, 2018

PRESENTED BY: Cheryl Foy

SLT LEAD: Cheryl Foy

SUBJECT: Annual Insurance Report – 2017-18

COMMITTEE/BOARD MANDATE:

- The Audit and Finance Committee of the Board has responsibility for Finance and Risk Management. In support of this mandate, the Committee receives for consideration an Annual Insurance Report.
- This is an opportunity for the Committee to consider the adequacy of the UOIT insurance program.

BACKGROUND/CONTEXT & RATIONALE:

- The University insurance program is overseen by the University Secretary and General Counsel with the assistance of the Director of Risk Management.
- Appropriate insurance is a key component of effective risk management.

RESOURCES REQUIRED:

- None.

IMPLICATIONS:

None.

ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

- None.

ALTERNATIVES CONSIDERED:

- None.

CONSULTATION:

- Not applicable.

COMPLIANCE WITH POLICY/LEGISLATION:

- Article 17 of UOIT By-Laws provides for the indemnification of Governors and employees, and further for the protection of governors. The insurance coverage provided supports these legal requirements.

NEXT STEPS:

- Review the presentation (attached), the highlights of which will be presented at the Meeting.

MOTION FOR CONSIDERATION:

- None. The Committee is asked to comment on the adequacy of the insurance portfolio.

SUPPORTING REFERENCE MATERIALS:

- Annual Insurance Report - Powerpoint

Insurance Update

Presentation to the Audit and
Finance Committee
June 18, 2018
By: Cheryl Foy

Purpose of the Presentation

- To provide the Committee with an update on the current insurance plan and focus for 2018/2019 term
- To provide the Board with an insurance update

Agenda

- 2017/2018 term in Review
- Overview of insurance policies and coverages
- 2018/2019 term strategies
- Feedback

2017/2018 Term in Review

- Introduced Cyber Liability insurance June 2017
- June 2017 – A&F accepted recommendations to extend five (5) year term with current carrier, CURIE
- Renewed five (5) year term January 1, 2018
- University General Counsel appointed to the CURIE Advisory Board – November, 2017

CURIE Policies and Coverage

General Liability	Covers the legal liability and defense costs arising from bodily injury and property damage
Policy Applies to:	<ul style="list-style-type: none">- Accidents occurring in the buildings or on the grounds or at activities related to the university on a world-wide basis- Personal injury- Sport activities- Professional malpractice- Sudden and accidental pollution- Tenants' legal liability, etc.
Coverage and Limitations	\$50,000,000 per occurrence deductible \$2,500 per occurrence subject to policy exclusions

CURIE Policies and Coverage, continued

Errors and Omission	The CURIE policy will indemnify against allegations of wrongdoing in four main areas
Policy Applies to:	<ul style="list-style-type: none"> - Governors, Directors and Officers, including employees while carrying out their normal duties on behalf of the University - Professional Malpractice for rendering or failing to render sound professional advice - Fiduciary liability arising from employees acting as Trustees for University Pension Plans - Employee benefit liability, arising out of the administration of the various university benefits programs
Coverage and Limitations	Combined \$50,000,000 limit between primary and excess deductible is \$1,000 on Employee Benefits only, subject to policy exclusions

CURIE Policies and Coverage, continued

Property	Insures against all risks of direct physical loss or damage primary of \$5,000,000 and excess up to \$1,250,000,000 limit per loss with a \$25,000 deductible
Policy Applies to:	<ul style="list-style-type: none"> - All Risks - Business interruption and extra expense policy - Earthquake - Flood
Coverage and Limitations	<p>Make available a business interruption policy and an extra expense policy (for UOIT, \$5,000,000)</p> <p>Earthquake – subject to 3% or subject to the following deductibles; minimum \$250,000 and a maximum of \$5,000,000 (except BC and Quebec)</p> <p>Flood – subject to a 2% minimum \$100,000 deductible</p>

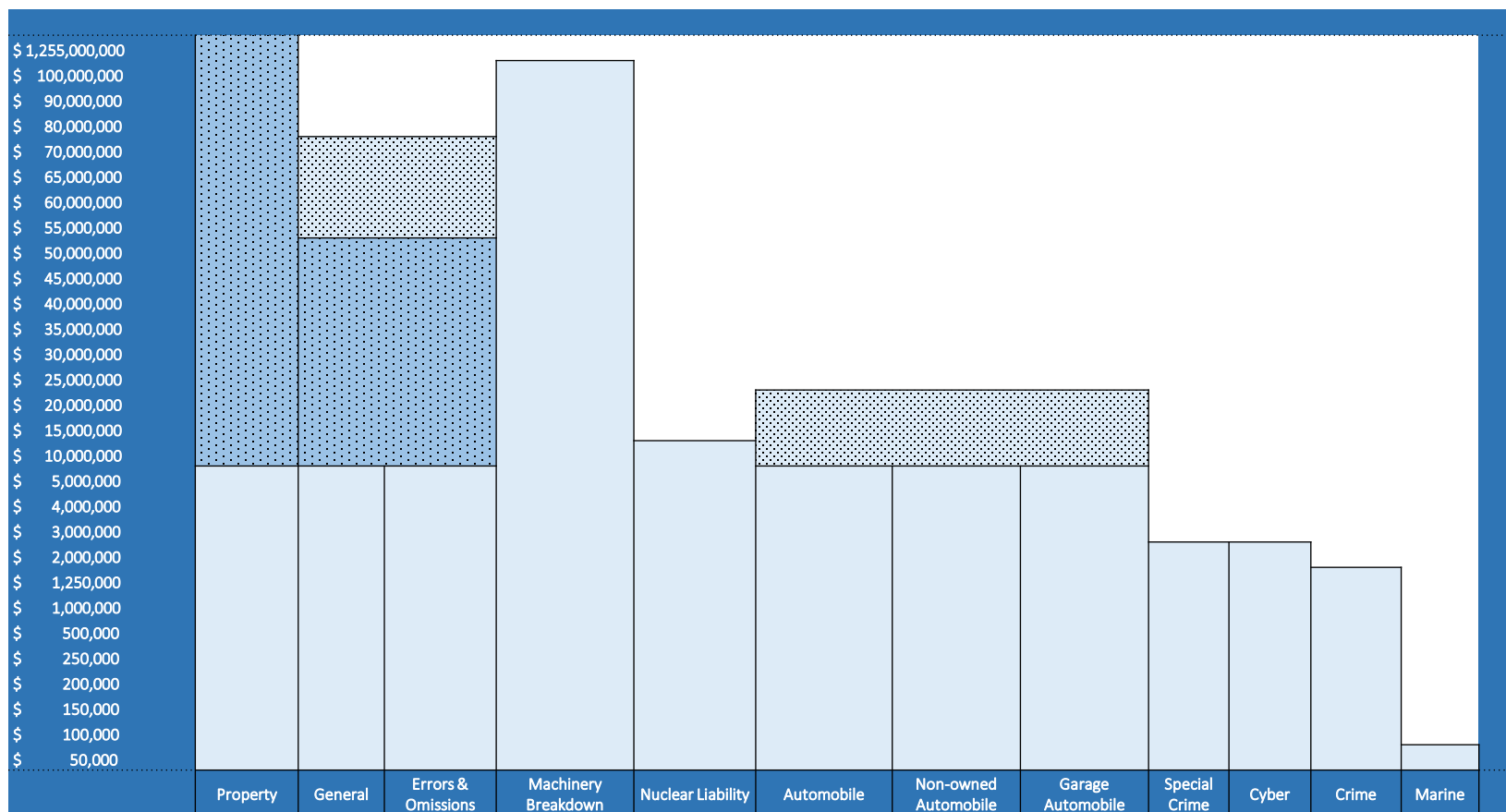
Marsh Policies

- Machinery Breakdown
- Crime
- Automobile
- Non Owned Automobile
- Garage Automobile
- Marine
- Special Crime
- Nuclear Liability
- Umbrella Liability
- Cyber Liability (*introduced in 2017*)
- **Ad hoc Cargo*

Sutton Policies and Coverage

Special Risk Travel	Provides major medical benefits for incidents resulting in injury , while on an authorized trip outside of Ontario
Policy Applies to:	<ul style="list-style-type: none"> - Medical Evacuation & Repatriation - Security Advice and Evacuation - Travel Assistance
Coverage and Limitations	<p>\$1,250,000 lifetime \$250,000 air ambulance/repatriation \$100,000 political evacuation Coverage responds within the first 60 days travel</p>
Student Work Placement	Provides medical coverage for students in university programs that are not eligible for WSIB, MASED coverage
Policy Applies to:	<ul style="list-style-type: none"> - University approved work placement or volunteer position
Coverage and Limitations	<p>\$150,000 principal sum for accidental death and dismemberment \$100,000 permanent total disability – maximum 104 weeks</p>

UOIT Insurance Layering Diagram



2018-2019 Focus

- Align insurance portfolio with university current and future needs, by:
 - Developing an insurance work plan, which includes:
 - Insurance gap analysis on current landscape
 - Review of insurance policy limits and conditions, and benchmarking against current market
 - Develop procedures surrounding use of university vehicles
 - Develop education surrounding travel insurance policies and eligibility of insurance while overseas / abroad
 - Enhance insurance section of risk management website
 - Enhance documentation, follow up, and storage of certificates of insurance (COI) on contract agreements and campus events

Feedback?