

BOARD OF GOVERNORS' 103rd REGULAR MEETING (PUBLIC SESSION) & ANNUAL GENERAL MEETING

PUBLIC SESSION AGENDA

Thursday, June 22, 2017

1:30 p.m. to 4:30 p.m.

Place: 55 Bond St., DTB 524

Dial-in Phone Number: 1-877-385-4099 (toll free in Canada & U.S.)

Participant Access Code: 1028954#

AGENDA

No.		Topic	Lead	Allocated Time	Suggested End Time
1		Call to Order	Chair	1	
2		Agenda (M)	Chair	1	
3		Conflict of Interest Declaration	Chair	1	
4		Chair's Remarks	Chair	10	
5		Approval of Minutes of the Meeting of May 3, 2017* (M)	Chair	2	1:45 p.m.
6		Community Reports/Presentations			
	6.1	Student Sexual Violence Policy	UOIT Community Members	10	1:55 p.m.
7		President's Report	President	10	2:05 p.m.
8		Co-Populous Report	D. Allingham	5	2:10 p.m.
9		Academic Council	President	10	2:20 p.m.
	9.1	Annual Report* (U)			
		Committee Reports			
10		Audit & Finance Committee	M. Goacher	30	2:50 p.m.
	10.1	2016-17 Audited Financial Statements* (M)			
	10.2	Internally Restricted Funds* (M)			
	10.3	Fourth Quarter Report* (U)			
	10.4	2017-2019 Tuition Fees Amendment* (M)	B. MacIsaac	5	2:55 p.m.
	10.5	SIRC Building Construction Project* (P)(U)	C. Elliott	5	3:00 p.m.
	10.6	University Risk Management Year-End Report* (U)	C. Foy	10	3:10 p.m.
	10.7	Audit & Finance Committee Annual Report (P)	M. Goacher	5	3:15 p.m.
		BREAK		10	3:25 p.m.

11		Investment Committee	N. Allen	10	3:35 p.m.
	11.1	Quarterly Report (U)			
	11.2	Investment Committee Annual Report (P)			
12		Governance, Nominations and Human Resources Committee			
	12.1	Board Leadership & Committee Assignments 2017-2018* (M)	K. Brearley	10	3:45 p.m.
	12.2	Student Sexual Violence Policy Review* (M)	R. Bailey	10	3:55 p.m.
	12.3	Governance, Nominations and Human Resources Committee Annual Report (P)	K. Brearley	5	4:00 p.m.
13		Strategy & Planning Committee			
	13.1	Alumni Association* (P)(U)	M. Riseley	10	4:10 p.m.
	13.2	Strategy & Planning Committee Annual Report (P)	V. Wafer	5	4:15 p.m.
14		Consent Agenda (M)	Chair	5	4:20 p.m.
	14.1	Board Schedule*			
	14.2	Appointment of Board Secretary 2017-18*			
	14.3	Minutes of the Audit & Finance Committee Meeting of April 19, 2017*			
	14.4	Minutes of the Governance, Nominations & Human Resources Committee Meeting of March 29, 2017*			
	14.5	Minutes of Strategy & Planning Committee Meeting of March 22, 2017*			
15		For Information:			
	15.1	Report of the Board Chair - Summary of Activities*			
	15.2	Annual Policy Review and Compliance Update*			
	15.3	CURIE 2016 Annual Report (available on the portal)			
16		Other Business	Chair	3	
17		Termination of Meeting (M)	Chair	2	4:25 p.m.
		* - Documents attached			
		D - Discussion			
		M - Motion			
		P - Presentation			
		U – Update			

Becky Dinwoodie, Secretary

Consent Agenda: To allow the Board to complete a number of matters quickly and devote more attention to major items of business, the Agenda has been divided between items that are to be presented individually for discussion and/or information and those that are approved and/or received by consent. A Consent Agenda is not intended to prevent discussion of any matter by the Board, but items

*listed under the consent section will not be discussed at the meeting unless a Governor so requests. Governors are supplied with the appropriate documentation for each item, and all items on the Consent Agenda will be **approved by means of one omnibus motion**.*



BOARD OF GOVERNORS' 102nd REGULAR MEETING PUBLIC SESSION

Wednesday, May 3, 2017

3:15 p.m. – 5:30 p.m.

Place: 55 Bond St., DTB 524

GOVERNORS IN ATTENDANCE:

Adele Imrie, Board Chair

John McKinley, Vice-Chair

Nigel Allen, Chair of Investment Committee

Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee

Doug Allingham

Jeremy Bradbury

Don Duval

Andrew Elrick

Francis Garwe

Jay Lefton

Tim McTiernan, President (*ex-officio*)

Glenna Raymond

Dietmar Reiner

Bonnie Schmidt

Mary Steele

Tyler Turecki

Shirley Van Nuland

VIA TELECONFERENCE:

Ololade Sanusi

Noreen Taylor

Valarie Wafer, Chair of Strategy & Planning Committee

REGRETS:

Miles Goacher, Vice-Chair and Chair of Audit & Finance Committee

Mary Simpson

Mike Snow

John Speers

BOARD SECRETARY:

Becky Dinwoodie, *Assistant University Secretary*

UOIT STAFF:

Robert Bailey, *Acting Provost and Vice-President, Academic*
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 Secretary*
Brad MacIsaac, *Assistant Vice-President, Planning and Analysis, and Registrar*
Cathy Pitcher, *Assistant to the President*

GUESTS:

Mikael Eklund

1. Call to Order

The Chair called the meeting to order at 3:40 p.m.

2. Agenda

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

3. Conflict of Interest Declaration

There was none.

4. Approval of Minutes of the Meeting of March 1, 2017

Upon a motion duly made by S. Van Nuland and seconded by J. McKinley, the Minutes were approved as presented.

5. Community Reports/Presentations (if required)

There were no requests from the community to present at this meeting. With the additional time, the President presented a video filmed by the Weather Network highlighting the First Responder Training conducted in ACE. He advised that the training program is funded through the Innovation Initiatives Fund, which is funded jointly by UOIT and Durham College (DC).

6. Chair's Remarks

The Chair provided a brief update on the presidential search and reminded everyone that the Presidential Candidate ad and profile are available on the University website. It was published in the Globe and Mail, as well. She encouraged people to circulate it to whomever they believe might be interested in the role.

As mentioned at the last meeting, the tuition and ancillary fees were deferred until this meeting as the Ministry had not released the tuition framework and compliance requirements. The fees for 2017 - 2019 are being presented at today's meeting for consideration.

The Chair congratulated O. Sanusi on her successful participation in the 3 Minute Thesis competition (known as 3MT). O. Sanusi won UOIT's 3MT final and earned fourth-place honours in the provincial

competition. She is advancing to the national 3MT finals hosted by the Canadian Association for Graduate Studies (CAGS). In the five-year history of the Ontario 3MT competition, O. Sanusi is the first student from UOIT to advance to the national event. Her video presentation will be profiled on the CAGS website from May 12 to 26 and the link will be distributed to the Board once available. People can vote online for the People's Choice award. The Board and the institution are extremely proud of her accomplishment and wish her luck during the national competition.

The Chair reminded the governors of the Convocation dates and encouraged them to attend as it is an exciting day for the graduates and a wonderful opportunity for the governors to engage with the University community.

She introduced M. Eklund, the only guest attending the meeting.

7. President's Report

The President reported on his attendance at the year-end meetings for UC and COU. The central focus of the recent UC meeting was inclusiveness and diversity, which included an address from the Minister of Science.

The meeting of the COU Executive Heads was held at McMaster and there were discussions regarding the ongoing SMA negotiations and provincial funding.

7.1 Confirmation of Tenure & Promotions

The President confirmed that awards of tenure and promotion were approved during the non-public session of the meeting and would be announced once the successful candidates were notified.

8. Academic Council Report

The President delivered the Academic Council Report.

8.1 Renaming Office of Graduate Studies to School of Graduate and Postdoctoral Studies

The President presented the recommendation for the change of name of the Office of Graduate Studies to the School of Graduate and Postdoctoral Studies for the Board's consideration. He advised that the name change accurately reflects the functions of the unit, as well as its anticipated growth. The President responded to additional questions from the Board.

Upon a motion duly made by T. McTiernan and seconded by J. Bradbury, pursuant to the recommendation of Academic Council, the Board of Governors approved the renaming of UOIT's Office of Graduate Studies to School of Graduate and Postdoctoral Studies, effective 1 July 2017.

9. Co-Populous Report

As an introduction to the co-populous report, the Chair noted the importance of the relationship between UOIT and DC. D. Allingham delivered the co-populous report. He reported that the last DC Board meeting focused on the 2017-18 budget. They also received an update on the Centre for Collaborative Education. D. Allingham discussed DC's 50th anniversary celebration events and

provided the example of the DC Brewing Memories Coffee Tour, where the college will host coffee breaks throughout the year at 50 workplaces that employ DC graduates.

Committee Reports

10. Audit & Finance Committee (A&F)

Finance

N. Allen was reporting on A&F in M. Goacher's absence. On behalf of M. Goacher, he thanked C. Foy for developing the University Risk Management (URM) program and introduced her to provide a URM update.

10.1 University Risk Management (URM)

C. Foy reviewed the related report with the Board. The purpose was to provide the Board with an overview of the risk management process and its relationship to other planning processes, in particular, the budget process. It was also intended to provide an update on the status of URM and report on the activities and progress against the risk management goals and objectives as outlined in the URM Report presented in June 2016.

C. Foy provided an overview of the risks and planning processes. She reminded the Board that it will likely be a 10-year process before risk management is fully integrated into the University's culture. She confirmed that several risks identified in the budget presentation are risks that were identified through last year's risk register process.

Institutional risk owners have been identified, such as the Space Working Group. Further, Academic Council has been identified as the risk owner for academic quality. The Risk Management Committee is working towards a final register, which will be presented at the next meeting.

C. Foy advised that the risk management website is now live as part of the University Secretary and General Counsel website. Additional attention must be given to strategic risks. She confirmed that the annual risk report will be presented at the Board's meeting in June.

10.2 2017-2018 Budget

N. Allen introduced the budget and advised that a conservative approach has been taken. He asked C. Elliott to discuss the unfunded items and the related mitigation strategies.

C. Elliott presented the 2017-2018 budget. He noted that the Ministry has not yet finalized the technical requirements of the updated funding formula. He advised that operating revenue is unlikely to decrease from what it is today during the next 3 years. There are still a number of variables to be determined, such as the number of PhD and Masters students.

In the current year, we are approximately 84-85 FTE over budget. The enrolment level for the budget next year has been purposely decreased in order to improve student experience factors, such as NASMs/FTE, reducing the student to faculty ratio, and fitting within the designated corridor. The budget also reflects the University's international strategy.

C. Elliott discussed the proposed budget reductions. When they examined the 10-year forecast, they saw structural issues that need to be addressed, requiring restructuring and reallocation of costs. Last year, they implemented across-the-board reductions. This year, the reductions were more strategic. By making those adjustments, there will be a balanced budget across the next 10 years.

He noted that the costs of the fundraising campaign have been offset with the carry-forward from the Advancement Department. He also confirmed that the SIRC building is not included in the budget as it is being paid for out of the University's restricted funds. Further, reserves will be reduced over the next couple of years. The moving ground plane is also not included in the budget.

C. Elliott explained the budget contingency and how it must be built up over the first 5 years in order to cover the last 5 years. He also discussed the transition of the TELE program to the "bring your own device" (BYOD) model.

The budget process this year was similar to the previous year. They are trying to make the process more transparent. The budget was taken to Academic Council and PACIP. There were also no changes in the accounting policies.

C. Elliott reviewed the major issues, challenges and opportunities of the University.

Strategic Planning & Budgeting

R. Bailey introduced himself as the acting Provost. He emphasized how drafting a university budget involves multi-year financial planning and must also be guided by strategic planning and the strategic goals identified by the Deans. He reviewed the main pillars of the Strategic Plan.

He continued by providing a breakdown of the \$3.4M in base expenses allocated to 2017-2018 strategic initiatives. He also discussed the efforts to decrease the student to faculty ratio. Additional money is being allocated to sessionals and TAs in order to reduce class size. He also noted that the English Language Centre will play a key role in supporting an increase in international student enrolment. He also provided the following breakdown of \$8.4M in one time only expenses:

- Infrastructure upgrades (e.g. IT, classrooms) - \$3.4M
- Building reserve (preparing for next project) - \$2.5M
- Advancement campaign (completing preparation) - \$0.6M
- Student success initiatives (e.g. Math help) - \$0.5M
- Research (e.g. Marceau Chair) - \$0.9M
- Pathways/Partnerships Fund (with Durham) - \$0.5M

R. Bailey introduced the process used in making the "hard choices" and discussed how the effects of those choices were mitigated. The process started with examining the 10-year budget and how to balance it.

The key risks and mitigations related to the following:

- student experience
- academic quality/faculty and staff
- crisis response/business continuity
- legal/compliance liability

C. Elliott reviewed the key budget assumptions with the Board, as well as budget and financial metrics. The use of reserves to build SIRC has affected the metrics. He also presented the key risks and opportunities. He noted the \$1.1M allocated to the “10 Forecast Surplus to Balance” included in contingencies to help achieve a balanced budget in 10 years.

We have a balanced budget. The University is spending \$16M on shared services with DC. He advised that the University is still experiencing some issues related to the Ice Centre and they are continuing to have discussions with the City regarding same. There will be approximately \$1.9M in carry-forwards at the end of the year and will be spending approximately \$1.3M.

C. Elliott discussed restricted funds and why they are used in budget planning. Our reserves will be reduced to \$19M by the end of 2017-18 due to funds used for the construction of SIRC.

A question was raised about the sustainability of international students given the competition for students. R. Bailey advised that the anticipated increase in international enrolment will be modest and strategic. C. Elliott responded to a question regarding the University’s case position. He advised that the University’s cash position is strong in comparison to the past.

There was a discussion about the TELE transition and whether FEAS and FESNS will continue to be supplemented. R. Bailey responded that although students bring their own device, the University must still provide the relevant software and there are associated costs. We will move toward a more sustainable model once the TELE transition is complete.

C. Elliott responded to additional questions from the Board.

The Chair deferred voting on the motion approving the budget until after the Board considered the tuition and ancillary fees agenda item.

Upon a motion duly made by N. Allen and seconded by D. Duval, pursuant to the recommendation of the Audit and Finance Committee of the Board, the Board of Governors approved the 2017-18 Budget as presented.

10.3 2017-2019 Tuition & Ancillary Fees

The Chair invited B. MacIsaac to present the 2017-2019 tuition and ancillary fees.

B. MacIsaac reviewed the Board’s role in relation to tuition and ancillary fees, as well as the process of setting tuition at UOIT. He advised that the proposed fees fall within the Ministry framework,

reflecting an overall 3% increase. He also looked at comparator schools within Ontario, ensuring we are at or just under the Ontario average. He confirmed that the University's ancillary fees are still at the top of Ontario institutions. There is no corresponding limit on increasing international student tuition fees; however, the goal is to keep the international increases similar to domestic tuition increases. Larger increases for international student tuition might be considered in future years.

B. MacIsaac discussed the students' perspective with respect to tuition increases. Ontario has one of the best financial aid packages for students worldwide among places that do not offer universal postsecondary education. Students feel the burden and are starting to work together with institutions to obtain increased funding from the government.

B. MacIsaac answered a question about the ancillary fees still being relatively high when the TELE program is moving to BYOD. He clarified that the TELE fees are over and above the ancillary fees. He explained that the ancillary fees are still relatively high because they include the UPASS (\$120 – only approximately 1/3 of schools have transit passes) and capital projects relating to the Student Centre and Campus Recreation/Wellness Centre (voted on by the students).

There was a discussion about the tuition for engineering in light of anticipated competition from expanding institutions.

Upon a motion duly made by A. Imrie and seconded by N. Allen, pursuant to the recommendation of the Audit and Finance Committee of the Board, the Board of Governors approved the 2017-2019 tuition fees, as presented.

Upon a motion duly made by A. Imrie and seconded by N. Allen, pursuant to the recommendation of the Audit and Finance Committee of the Board, the Board of Governors approved the 2017-2019 ancillary fees, as presented.

10.4 SIRC Building Construction Project

C. Elliott delivered the SIRC Building Construction Project update as of April 25, 2017. He answered questions from the Board.

11. Governance Nominations & Human Resources Committee

K. Brearley delivered the GNHR Report. The Committee is continuing to make progress on its work plan. She thanked J. Bradbury and S. Van Nuland for conducting a review of the Annual Board Practices Assessment. The Committee approved the updated form. As the online survey has proved difficult to schedule over the past year, the assessment form will be distributed via e-mail. She asked the governors to please complete it and return it to the Secretariat to assist with planning for the next year. As stated at the Board meeting in December, the Student Sexual Violence Policy and Workplace Violence Policy and Procedures benefitted from an additional three month review period. Reflecting comments received, the updated Workplace Violence policy documents are included in the Consent Agenda for approval as the changes were not substantive. The Committee received an update on the Student Sexual Violence Policy at its March meeting and the proposed amendments will come

forward for recommendation at the Committee's June meeting. The By-Law Review Project Working Group has made good progress on the by-law and the Board has received a draft of the amended By-law Number 1 for review. The goal is for the by-laws to be presented for approval by the Board at its AGM in June.

12. Strategy & Planning Committee

12.1 Strategic Mandate Agreement (SMA)

R. Bailey presented the SMA report. He provided an overview of the key concepts to be included under the main areas of the SMA, which are:

- Student Experience;
- Innovation in Teaching and Learning Excellence;
- Access and Equity;
- Research Excellence and Impact; and
- Innovation, Economic Development & Community Engagement.

The draft of the SMA was submitted to the Ministry the previous week and the University is awaiting the Ministry's response.

R. Bailey reviewed the proposed enrolment plan. The overall enrolment projection for the time of this SMA is essentially flat. The University is asking for additional spots in Nursing Program and additional graduate spaces, including the approval of 20 currently unfilled PhD spots. It also proposes a modest increase in international enrolment.

In discussing the sustainability section, R. Bailey noted that because of our STEM-rich enrolment, the University tends to receive less funding than other typical institutions. He also referred to the challenge of the debenture requirements. The SMA identifies the existing programs of strength and the program areas of expansion.

B. MacIsaac explained the differentiation bucket. UOIT has been allocated 4% to the differentiation pot and the majority is allocated to the enrolment bucket. R. Bailey confirmed that this is the first proposal and it will go back and forth with the Ministry.

The Chair noted that a representative of the Ministry could come and speak to the Board about the SMA. She asked the Board members if they would be interested in hearing from the Ministry and they supported that suggestion.

Upon a motion duly made by V. Wafer and seconded by T. McTiernan, the Board of Governors endorsed the key concepts outlined in the attached document as UOIT's Senior Leadership Team negotiates the Strategic Mandate Agreement with the Province of Ontario.

13. Consent Agenda:

Upon a motion duly made by A. Imrie and seconded by M. Steele, the Board approved the following items on the consent agenda:

- 13.1 Workplace Violence Policy & Procedures
- 13.2 Endowment Disbursement
- 13.3 Minutes of the Audit & Finance Committee Meeting of February 15, 2017
- 13.4 Minutes of the Governance, Nominations & Human Resource Committee Meeting of January 25, 2017
- 13.5 Minutes of the Strategy & Planning Committee Meeting of January 18, 2017

14. For Information:

- 14.1 Academic Council - Program Review Final Assessment Reports and Follow-Up*
- 14.2 Convocation Dates: June 8 & 9, 2017

15. Other Business

16. Termination of Public Session

There being no other business, upon a motion duly made by T. McTiernan and seconded by K. Brearley, the Meeting terminated at 5:45 p.m.

Becky Dinwoodie, Secretary



ACADEMIC COUNCIL

ANNUAL REPORT TO BOARD OF GOVERNORS 2016-2017

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.

Curriculum & Program Changes

Academic Council approved the following major program modifications:

- a) Bachelor of Health Science in Kinesiology - creation of a Kinesiology major without specialization
- b) Faculty of Engineering and Applied Science - Bachelor of Engineering in Software Engineering – new specialization Internet of Things
- c) Faculty of Science - Bachelor of Science - new minor program in Astronomy
- d) Faculty of Business and Information Technology - Bachelor of Commerce – new major and minor in Technology Management
- e) Faculty of Business and Information Technology - Bachelor of Information Technology – new major in Technology Management
- f) Faculty of Health Sciences - Bachelor of Health Science in Kinesiology – addition of the OTA/PTA pathway
- g) Faculty of Science - Bachelor of Science – new minor in Data Science
- h) PhD in Electrical and Computer Engineering – new field in Power Systems and Power Electronics
- i) Master of Applied Science in Electrical and Computer Engineering – four new fields in Communications and Signal Processing; Control Systems; Software Systems; and Power Systems and Power Electronics

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 2016 and Winter Term 2017 who were recommended for graduation by their Faculty. There were 2184 degrees awarded at the 2017 Convocation.

The following are the student medal winners for 2017:

Medal Winners	Level	Faculty	Last Name	First Name
Gold Medal	GR	Engineering & Applied Science	Acar	Canan
Silver Medal	UG	Business & Information Tech	Preston	Hannah
Faculty Medals	Level	Faculty	Last Name	First Name
FED	PR	Education	Emmorey	Erika
FBIT	UG	Business & Information Tech	Preston	Hannah
FESNS	UG	Energy Systems & Nuclear Science	Doxtator	Andrew
FEAS	UG	Engineering & Applied Science	Bower	Lowell
FHSC	UG	Health Sciences	Abdel-Malek	Daniel
FSCI	UG	Science	Mitchell	Tiffany
FSSH	UG	Social Science and Humanities	Dunk	Michael
Thesis Awards	Level	Faculty	Last Name	First Name
Outstanding Doctoral Thesis Award Recipient	GR	Engineering & Applied Science	Acar	Canan
Outstanding Master's Thesis Award Recipient	GR	Engineering & Applied Science	Gillis	Jessie

Scholarships

The Admissions and Scholarship Committee of Academic Council has finalized the selection of recipients for the major scholarship awards for 2017-18. The following are the number of students awarded scholarships:

Chancellor's Scholarship:	1
President's Scholarships:	2
Founder's Scholarships:	2
FIRST Robotics Scholarship:	1
Global Leadership Scholarship:	1

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.

Teaching Awards

The following individuals were the recipients of the 2016-2017 Teaching Awards:

- Dr. Janette Hughes, Faculty of Education - Tenured/Tenure Track Faculty
- Mr. Ronald Bell, Faculty of Science - Teaching Assistants

Honorary Degree Recipients

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

- The Honourable Sarabjit Marwah
- Shirlee Sharkey
- Jeanette Southwood
- Elder Shirley Williams

Policies

Academic Council provided feedback on and recommended the following policies for approval by the Board of Governors:

- a) Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence
- b) Policy Against Violence, Harassment and Discrimination in the Workplace

Consultation

Academic Council was consulted and provided feedback on the following matters:

- a) 2017-2018 Budget
- b) Refreshing the Strategic Plan
- c) Strategic Mandate Agreement
- d) Retention Strategy
- e) Presidential Candidate Profile
- f) Draft By-law Number 1

Governance

Academic Council Elections 2016-2017

Academic Council held elections in March 2017 to fill the vacant positions for 2017-2018. 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.

Academic Council has approved the appointment of 4 elected faculty representatives to serve on Academic Council and its standing committees for a term of 2017-2020. Council also

appointed 4 elected student representatives to serve on Academic Council and its standing committees for a term of 2017-2019.

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, continued their work on the By-law Review Project throughout the year. The draft by-laws are anticipated to be presented to the Board for approval in the Fall of 2017.

Committee to Recommend a President (CRP)

The Academic Council elected three (3) eligible faculty members for nomination to the CRP. The successful candidates were: Mikael Eklund, Glenn Harvel, and Hannah Scott.

Governance Education

Academic Council held one orientation session on September 20, 2017. Governance information sessions were conducted for all student candidates prior to the election.



**Financial Update
Report to the Audit and Finance Committee
For the year ending March 31, 2017**

June 12, 2017

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017
Table of Contents

	<u>Page</u>
I. Draft Consolidated Financial Statements	1 - 21
II. Financial Metrics	22 - 24
III. Operating Summary	25 - 28
IV. Capital	29 - 30
V. Cash Flow	31 - 32
VI. Long-term Forecast	33 - 34

Draft Consolidated Financial Statements of

**UNIVERSITY OF ONTARIO
INSTITUTE OF TECHNOLOGY**

For the year ended March 31, 2017

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Financial Statements
Table of Contents
For the year ended March 31, 2017

	<u>Page</u>
Independent Auditors' Report	
Consolidated Statement of Financial Position	1
Consolidated Statement of Operations	2
Consolidated Statement of Changes in Net Assets	3
Consolidated Statement of Cash Flows	4
Notes to the Consolidated Financial Statements	5-18

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Financial Position
As at March 31, 2017

	<u>Mar 31, 2017</u>	<u>Mar 31, 2016</u>	<u>Variance</u>
ASSETS			
CURRENT			
Cash and cash equivalents (Note 2)	\$ 56,795,539	\$ 32,308,994	\$ 24,486,545
Short-term investments (Note 2)	-	10,170,000	(10,170,000)
Grant receivable	6,152,287	5,312,979	839,308
Other accounts receivable (allowance for doubtful accounts - \$304,895; 2016 - \$308,202)	7,624,344	7,581,038	43,306
Prepaid expenses and deposits	1,689,870	1,701,678	(11,808)
Inventories	172,514	154,262	18,252
	<u>72,434,554</u>	<u>57,228,951</u>	<u>15,205,603</u>
INVESTMENTS (Note 3)	29,632,811	30,967,585	(1,334,774)
CAPITAL ASSETS (Note 4)	399,939,626	397,511,225	2,428,401
TOTAL ASSETS	<u>\$ 502,006,991</u>	<u>\$ 485,707,761</u>	<u>\$ 16,299,230</u>
LIABILITIES			
CURRENT AND LONG-TERM LIABILITIES			
Accounts payable and accrued liabilities (Notes 5 and 12)	\$ 34,633,948	\$ 24,194,540	10,439,408
Deferred revenue (Note 6)	20,878,720	20,358,279	520,441
Current portion of other long-term debt (Note 7)	5,707,308	5,477,658	229,650
Current portion of obligations under capital lease (Note 8)	505,413	417,565	87,848
Current portion of long-term debenture debt (Note 9)	5,439,949	5,110,244	329,705
	<u>67,165,338</u>	<u>55,558,286</u>	<u>11,607,052</u>
OTHER LONG-TERM DEBT (Note 7)	682,735	6,390,043	(5,707,308)
LONG-TERM OBLIGATIONS UNDER CAPITAL LEASES (Note 8)	38,167,349	38,672,761	(505,413)
LONG-TERM DEBENTURE DEBT (Note 9)	170,061,232	175,501,181	(5,439,949)
DEFERRED CAPITAL CONTRIBUTIONS (Note 10)	164,581,824	162,285,684	2,296,140
	<u>440,658,478</u>	<u>438,407,955</u>	<u>2,250,523</u>
NET ASSETS / (DEFICIT)			
UNRESTRICTED	(10,744,227)	(22,160,664)	11,416,437
INVESTED IN CAPITAL ASSETS (Note 13)	20,902,313	14,996,292	5,906,021
INTERNALLY RESTRICTED (Note 14)	31,573,707	36,292,518	(4,718,811)
ENDOWMENTS (Note 15)	19,616,720	18,171,660	1,445,060
	<u>61,348,513</u>	<u>47,299,806</u>	<u>14,048,707</u>
Contingencies and Contractual Commitments (Note 17)			
TOTAL LIABILITIES AND NET ASSETS	<u>\$ 502,006,991</u>	<u>\$ 485,707,761</u>	<u>16,299,230</u>
<i>See accompanying notes to the consolidated financial statements</i>			

Approved by:

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Operations
For the year ended March 31, 2017

	<u>2017</u>	<u>2016</u>	<u>Variance</u>
REVENUE			
Grants - operating and research (Note 11)	\$ 69,790,551	\$ 68,364,211	\$1,426,340
Grants - debenture	13,500,000	13,500,000	-
Donations	1,089,859	701,761	388,098
Student tuition fees	74,817,528	69,729,577	5,087,951
Student ancillary fees	13,773,580	14,557,870	(784,290)
Revenues from purchased services (Note 12)	3,993,307	3,724,803	268,505
Other income	13,654,306	12,288,186	1,366,120
Amortization of deferred capital contributions	8,796,000	8,705,492	90,508
Interest revenue	865,352	1,025,880	(160,528)
Realized/unrealized gain/(loss) on investments	1,702,360	(1,385,256)	3,087,617
Gain on disposal of capital assets	434,126	421,476	12,650
	202,416,969	191,634,000	10,782,969
EXPENSES			
Salaries and benefits	96,518,715	94,207,476	2,311,239
Supplies and expenses	36,580,910	36,021,630	559,280
Purchased services (Note 12)	16,084,422	15,685,113	399,309
Interest expense - Debt obligations	14,715,745	15,197,546	(481,801)
Interest expense - Other	107,202	87,854	19,348
Amortization of capital assets	24,859,401	26,190,578	(1,331,177)
Professional fees	946,927	936,269	10,657
	189,813,322	188,326,466	1,486,855
Excess of revenue over expenses	\$ 12,603,647	\$ 3,307,534	\$ 9,296,114

See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Changes in Net Assets
For the year ended March 31, 2017

	<u>Unrestricted</u>	<u>Invested in Capital Assets</u>	<u>Internally Restricted</u>	<u>Endowments</u>	<u>Total 2017</u>	<u>Total 2016</u>
		(Note 13)	(Note 14)	(Note 15)		
Balance - Beginning of Year	\$ (22,160,664)	\$ 14,996,292	\$ 36,292,518	\$ 18,171,660	\$ 47,299,806	\$ 42,871,951
Excess / (deficiency)						
Revenue over Expenses	28,667,048	(16,063,401)	-	-	12,603,647	3,307,534
Interfund Transfer	4,718,811	-	(4,718,811)	-	-	-
Investment in Capital Assets	(21,969,422)	21,969,422	-	-	-	-
Endowment Contributions	-	-	-	1,445,060	1,445,060	1,120,321
Net changes during the year	11,416,437	5,906,021	(4,718,811)	1,445,060	14,048,707	4,427,855
Balance - End of Year	\$ (10,744,227)	\$ 20,902,313	\$ 31,573,707	\$ 19,616,720	\$ 61,348,513	\$ 47,299,806

See accompanying notes to the consolidated financial statements

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Consolidated Statement of Cash Flows
For the year ended March 31, 2017

	<u>Mar 31, 2017</u>	<u>Mar 31, 2016</u>
NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES		
OPERATING		
Excess of revenue over expenses	\$ 12,603,647	\$ 3,307,534
Items not affecting cash:		
Amortization of capital assets	24,859,401	26,190,578
Amortization of deferred capital contributions	(8,796,000)	(8,705,492)
Gain on disposal of capital assets	(434,126)	(421,476)
Realized/unrealized (gain)/loss on investments	(1,702,360)	1,385,256
	26,530,562	21,756,400
Working capital:		
Grant and other accounts receivable	(882,614)	1,072,942
Prepaid expenses and deposits	11,808	(111,313)
Inventories	(18,252)	136,222
Accounts payable and accrued liabilities	10,439,408	(1,263,972)
Deferred revenue	520,441	(419,140)
	36,601,353	21,171,139
INVESTING		
Purchase of capital assets	(28,175,619)	(9,349,915)
Proceeds on disposal of capital assets	1,321,943	856,075
Investments	13,207,134	3,911,846
	(13,646,542)	(4,581,994)
FINANCING		
Repayment of long-term debt	(10,587,902)	(9,954,499)
Endowment contributions	1,445,060	1,120,321
Repayment of obligations under capital leases	(417,564)	(27,746)
Deferred capital contributions	11,092,140	898,331
	1,531,734	(7,963,593)
NET CASH INFLOW	24,486,545	8,625,552
CASH & CASH EQUIVALENTS BALANCE, BEGINNING OF YEAR	32,308,994	23,683,442
CASH & CASH EQUIVALENTS BALANCE, END OF YEAR	\$ 56,795,539	\$ 32,308,994
SUPPLEMENTARY CASH FLOW INFORMATION		
Interest paid	\$ 14,930,533	\$ 15,399,645

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, 2017

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, 2017 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, 2017 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 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, 2017

1. SIGNIFICANT ACCOUNTING POLICIES AND DISCLOSURES (continued)

Student fees are recognized as revenue when courses are provided.

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

Externally restricted contributions for purposes other than endowment are deferred and recognized as revenue in the year in which 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, 2017

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, 2017

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>2017</u>	<u>2016</u>
Bank of Montreal, cash balances	\$ 38,836,123	\$ 24,790,828
BMO Nesbitt Burns & RBC GICs	17,593,407	7,169,483
IBM, credit facility drawn	(10,000)	(10,000)
Royal Bank of Canada, cash balances	57,035	153,327
Harris Bank, cash balances	46,625	4,745
Other, balances	272,349	200,611
	<u>\$ 56,795,539</u>	<u>\$ 32,308,994</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, 2017, the University utilized, on a cash consolidated basis, nil (2016 - 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, 2017, the University utilized \$10,000 (2016 - \$10,000) of the operating line of credit.

Guaranteed Investment Certificates ("GICs") mature within 90 days of fiscal year-end and are accounted for as cash and cash equivalents. These include \$16,450,780 of 30-day cashable GICs (2016 - \$7,169,483) and \$1,142,627 of annual GICs (2016 - \$10,170,000) which mature June 12, 2017.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

3. INVESTMENTS

	2017		2016	
	Cost	Fair Value	Cost	Fair Value
Equities	\$ 13,228,753	\$ 15,336,164	\$ 13,141,002	\$ 13,582,832
Fixed income	7,728,900	7,770,990	6,208,685	6,332,557
Money Market/Cash	1,029,620	1,033,616	467,432	467,432
Held in Trust	5,192,106	5,492,041	9,969,718	10,584,764
	\$ 27,179,379	\$ 29,632,811	\$ 29,786,837	\$ 30,967,585

Investments held in trust represent the principal on the remaining proceeds of a loan of \$5,492,041 (2016 - \$10,584,764) that the University received from the Ontario Financing Authority in February 2012 (Note 7), and which the University then applied for the purpose of paying BNY Trust Company of Canada ("BNY"). These funds are held by BNY pursuant to Section 6.01(h) of the Supplemental Trust Indenture, pursuant to which the University's Series A Debentures were issued. The funds held in trust comprise of both fixed income and money market investments.

(a) Credit, interest rate and maturity risk

The value of fixed income securities will and generally rise if interest rates fall and decrease if interest rates rise. Changes in interest rates may also affect the value of equity securities. The fixed income investments consist of various Canadian government and corporate bonds and individual mortgage holdings. The fixed income investments bear coupon rates ranging from 0.0% to 18.2% (2016 – 0.0% to 16.2%) and have maturity dates ranging from April 1, 2017 to December 31, 2099 (2016 - April 1, 2016 to December 31, 2099).

(b) Foreign currency risk

The University is exposed to financial risks as a result of exchange rate fluctuations and the volatility of these rates. The University, through its investment management company, hedges against foreign exchange risks. There has been no change in the University's hedging policy from 2016.

(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, 2017

4. CAPITAL ASSETS

Capital assets consist of:

	2017			2016
	Cost	Accumulated Amortization	Net Book Value	Net Book Value
Land	\$ 8,456,815	\$ -	\$ 8,456,815	\$ 8,456,815
Buildings	391,635,686	99,892,925	291,742,761	301,392,709
Building renovations	23,736,562	14,036,922	9,699,640	10,667,447
Leasehold improvements	3,384,669	1,175,838	2,208,831	2,447,881
Parking	981,955	24,549	957,406	-
Furniture and fixtures	15,773,902	14,653,785	1,120,117	1,548,679
Laptops	17,806,821	13,914,354	3,892,467	4,846,414
Computer equipment	15,502,947	13,529,506	1,973,441	2,462,042
Vehicles	263,669	147,729	115,940	23,104
Major equipment	67,482,124	39,924,751	27,557,373	31,133,538
Construction-in-progress	18,615,268	-	18,615,268	257,702
	<u>\$ 563,640,418</u>	<u>\$ 197,300,359</u>	<u>\$ 366,340,059</u>	<u>\$ 363,236,331</u>
Assets under capital leases:				
Land	2,300,000	-	2,300,000	2,300,000
Buildings	35,689,192	4,389,625	31,299,567	31,974,894
Total	<u>\$ 601,629,610</u>	<u>\$ 201,689,984</u>	<u>\$ 399,939,626</u>	<u>\$ 397,511,225</u>

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

Amortization of assets under capital leases for the current year totaled \$675,327 (2016 - \$675,327).

5. ACCOUNTS PAYABLE AND ACCRUED LIABILITIES

Included in accounts payable and accrued liabilities are government remittances payable of \$2,170,589 (2016 – \$197,054), relating to payroll related taxes.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

6. DEFERRED REVENUE

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

	<u>2017</u>	<u>2016</u>
Tuition	\$ 7,974,934	\$ 7,571,838
Research	5,419,572	5,089,911
Donations	3,310,874	3,498,594
Ancillary	2,601,233	3,011,325
Other	1,572,107	1,186,611
	<u>\$ 20,878,720</u>	<u>\$ 20,358,279</u>

7. OTHER LONG-TERM DEBT

The University has incurred debts in the amount of \$6,390,043 through third parties related to the financing of the debenture (offset by amounts held in trust, as disclosed in Note 3 and Note 9), lab equipment and leasehold improvements in our downtown locations. Other long-term debt comprised the following:

	<u>2017</u>	<u>2016</u>
Unsecured loan, bearing fixed interest rate at 2.77% per annum, repayable semi-annually, with final instalment due October 15, 2017	\$ 5,501,181	\$ 10,611,425
Other unsecured loans, payable monthly / quarterly over a period of 3 months to 24 years and at interest rates ranging from 0% to 9.3%	888,862	1,256,276
	<u>\$ 6,390,043</u>	<u>\$ 11,867,701</u>

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

2018	\$ 5,707,308
2019	132,672
2020	124,139
2021	124,398
2022	124,683
Thereafter, through 2041	176,843
	<u>6,390,043</u>
Less: current portion	5,707,308
	<u>\$ 682,735</u>

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

7. OTHER LONG-TERM DEBT (continued)

The fair value of the other long-term debt is approximately \$6,499,000 (2016 - \$12,198,000). 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.

8. 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:

2018	\$ 3,719,641
2019	3,746,878
2020	3,774,388
2021	3,861,463
2022	3,931,876
Thereafter, through 2041	69,438,743
Total minimum lease payments	88,472,989
Less: amount representing interest at rates ranging from 6.50% to 9.30%	49,800,227
Present value of net minimum capital lease payments	38,672,762
Less: current portion of principal obligations	505,413
	<u>\$ 38,167,349</u>

Interest of \$3,247,346 (2016 - \$3,257,541) relating to capital lease obligations has been included in interest expense. The total amount of assets under capital leases is \$37,989,192 (2016 - \$37,989,192) with related accumulated amortization of \$4,389,625 (2016 - \$3,714,298).

The fair value of the capital leases is approximately \$42,125,000 (2016 - \$42,689,000). 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, 2017

9. 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 Training, Colleges and Universities ("MTCU"), and by the University's operating funds.

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

Total principal and interest paid on the debenture to March 31, 2017 is \$198,012,070 (2016 - \$181,511,064), \$155,987,712 funded by MTCU and \$42,024,358 funded by the University.

The University has deposited a minimum of \$50,000,000, less the aggregate principal repaid to-date of \$44,498,819. The fair value of funds amounting to \$5,492,041 are held in trust on behalf of the University (Note 3).

As at March 31, 2017, \$217,431,043 (2016 - \$217,431,043) had been used to finance capital assets.

2018	\$ 5,439,949
2019	5,790,925
2020	6,164,546
2021	6,562,273
2022	6,985,660
Thereafter, through 2034	144,557,828
Total minimum payments	175,501,181
Less: current portion	5,439,949
	<u>\$ 170,061,232</u>

The fair value of the long-term debenture debt is approximately \$213,200,000 (2016 - \$225,834,000). 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, 2017

10. 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>2017</u>	<u>2016</u>
Balance - beginning of year	\$ 162,285,684	\$ 170,092,845
Contributions	11,092,140	898,331
Recognized as revenue during the year	(8,796,000)	(8,705,492)
Balance - end of year	<u>\$ 164,581,824</u>	<u>\$ 162,285,684</u>

11. GRANT REVENUES – OPERATING AND RESEARCH

Grant revenues consist of the following:

	<u>2017</u>	<u>2016</u>
Operating	\$ 60,150,163	\$ 59,191,734
Externally funded research	9,640,388	9,172,477
Total grant revenues	<u>\$ 69,790,551</u>	<u>\$ 68,364,211</u>

12. 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.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

12. PURCHASED SERVICE COSTS (continued)

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.

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

13. INVESTED IN CAPITAL ASSETS

Investment in capital assets represents the following:

	2017	2016
Capital assets - net book value	\$ 399,939,626	\$ 397,511,225
Less amount financed by deferred capital contributions	(164,581,824)	(162,285,684)
Less amount financed by long-term debt (Notes 7, 8 and 9)	(214,455,489)	(220,229,249)
Total investment in capital assets	\$ 20,902,313	\$ 14,996,292

	2017	2016
Net change in investment in capital assets:		
Purchases of capital assets	\$ 28,175,619	\$ 9,349,915
Amounts funded by:		
Deferred capital contributions	(11,092,140)	(898,331)
Long-term debt	-	(268,462)
Repayment of long-term debt	4,885,943	4,894,123
	\$ 21,969,422	\$ 13,077,245

	2017	2016
Amortization of deferred capital contributions related to capital assets	\$ 8,796,000	\$ 8,705,492
Less amortization of capital assets	(24,859,401)	(26,190,578)
	\$ (16,063,401)	\$ (17,485,086)
Net change during the year	\$ 5,906,021	\$ (4,407,841)

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

14. 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>2017</u>	<u>2016</u>
Balance comprised of the following:		
Research related activities	\$ 4,971,799	\$ 4,790,319
Capital related activities	14,665,688	21,545,491
Student awards	1,000,000	625,065
Working capital	6,000,000	6,000,000
Faculty carry-forwards	1,604,000	1,723,000
Fundraising campaign	1,505,000	-
Other	1,827,220	1,608,643
	<u>\$ 31,573,707</u>	<u>\$ 36,292,518</u>

15. 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, 2017

15. ENDOWMENTS (continued)

The balance of endowments consists of the following:

	<u>2017</u>	<u>2016</u>
OSOTF	\$ 1,916,037	\$ 1,889,749
OTSS	15,041,001	14,162,128
Other	2,659,682	2,119,783
	<u>\$ 19,616,720</u>	<u>\$ 18,171,660</u>

The change in the balance of endowments is as follows:

	<u>2017</u>	<u>2016</u>
Endowment fund balance, beginning of year	\$ 18,171,660	\$ 16,226,506
Donations	1,021,332	1,237,221
Realized gains	383,748	569,393
Realized investment income	503,190	505,380
Income distributions	(463,210)	(366,840)
Endowment fund balance, end of year	<u>\$ 19,616,720</u>	<u>\$ 18,171,660</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, 2017.

OSOTF	OTTS	Total 2017	Total 2016
-------	------	------------	------------

Schedule of Changes in Endowment Fund Balance

Endowment balance, beginning of year	\$ 1,589,684	\$ 12,874,662	\$ 14,464,346	\$ 13,927,492
Eligible cash donations	-	534,671	\$ 534,671	387,429
Preservation of capital	22,500	207,408	\$ 229,908	149,425
Endowment fund balance, end of year	<u>\$ 1,612,184</u>	<u>\$ 13,616,741</u>	<u>\$ 15,228,925</u>	<u>\$ 14,464,346</u>

Schedule of Changes in Expendable Funds

Available for Awards	OSOTF	OTTS	2017	2016
Expendable balance, beginning of year	\$ 300,064	\$ 1,287,467	\$ 1,587,531	\$ 1,081,328
Realized investment income	74,289	700,412	\$ 774,701	1,012,468
Less: Preservation of capital	(22,500)	(207,408)	(229,908)	(149,425)
Bursaries awarded	(48,000)	(356,211)	(404,211)	(356,840)
Expendable balance, end of year	<u>\$ 303,853</u>	<u>\$ 1,424,260</u>	<u>\$ 1,728,113</u>	<u>\$ 1,587,531</u>

In the current year, 253 bursaries valued at \$463,210 were disbursed from the total endowed funds (2016 – 226 bursaries valued at \$366,840).

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Notes to the Consolidated Financial Statements
For the year ended March 31, 2017

16. 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 \$4,773,201 (2016 - \$4,676,889).

17. 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, 2017 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, 2017 are as follows:

2018	\$	1,715,992
2019		1,591,975
2020		1,591,975
2021		1,597,718
2022		1,601,820
Thereafter		6,633,392
	\$	<u>14,732,872</u>

18. COMPARATIVE INFORMATION

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

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

CONSOLIDATED STATEMENT OF FINANCIAL POSITION

Assets

Cash and short-term investments increased \$14.3m and is due to under-spending in the current year, coupled with timing of payment of large invoices expensed at year-end and paid after year-end. These include \$5.0m of Ellis Don invoices for the construction of SIRC paid in Apr and May 2017, and \$2.1m of payroll deduction expense paid in Apr 2017.

Grant receivable balance of \$6.2m includes \$4.6m Collaborative Nursing (CN) grant for FY16/17, funded on a slip-year basis and hence received in FY17/18 and \$1.6m of external research grants all of which are current. Increase of \$0.8m over the PY relates mostly to external research grant expenses incurred in the fiscal year and receivable from agencies at the end of the FY.

Other accounts receivable includes student and trade receivables. Y/E balance of \$7.6m includes \$2.6m of student A/R (of which \$1.8m relates to fall 2016 and winter 2017 and \$0.8m to spring 2016 and prior), \$1.7m of current trade A/R, other current receivables comprising \$0.8m of sales tax recoverable, \$0.7m COU application fees received in April 2017, \$0.6m ACE, and other balances, none exceeding \$0.5m.

Investment balance of \$29.6m is comprised of \$24.1m endowed funds held at PH&N and \$5.5m from MoF held in trust at BNY. The decrease of \$1.3m includes a decrease of \$5.1m used to repay the MoF loan in the CY (**see Other Long Term Debt note under Liabilities below**) offset by a net increase of \$3.8m in endowed funds (new in-year donations \$1.6m which includes \$0.4m donated shares, investment income \$1.0m, M2M unrealized gain \$1.7m, offset by bursary disbursements \$0.5m).

Capital assets increase of \$2.4m includes net additions of \$21.0m, offset by accumulated amortization of \$18.6m. Additions comprise \$18.5m WIP (\$15.9m SIRC & \$2.6 rolling road), \$3.7m laptop purchases net of \$6.6m disposals, \$2.2m equipment, \$2.4m building, parking, lab renovations and FFE and \$0.8m computer equipment.

Liabilities

Accounts payable and accrued liabilities increase of \$10.4m includes \$6.2m increase in accounts payable due to the timing of payment of invoices, including \$5.5m to Ellis Don for the construction of SIRC, \$2.1m March 2017 payroll deductions paid in April, \$1.8m of SIRC construction and warranty holdbacks and \$1.3m administrative leave earned by senior academics. These increases are offset by \$0.6m decrease due to Durham College for shared services and other increases / decreases, none exceeding \$0.5m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

CONSOLIDATED STATEMENT OF FINANCIAL POSITION (continued)

Deferred Revenue relate to revenues deferred to the following year as these have not yet been earned at year-end or will be recognized as revenue in the year in which related expenses are incurred. Year-end balance of \$20.9m includes \$8.0m deferred tuition representing 1/4 of winter fees not yet earned, \$5.4m of externally funded research revenues, \$3.3m of expendable donations, \$2.7m of deferred TELE surplus, and \$1.5m of miscellaneous deferred revenues.

Other long-term debt decrease of \$5.5m includes \$5.1m repayment of the MoF loan in the CY (**see Investment note under Assets above**) and other repayments, none of which exceeds \$0.25m. Balance of \$6.4m comprises \$5.5m MoF loan, which is fully payable in October 2017.

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

Decrease in long-term debenture debt of \$5.1m relates to the principal repayment and resulting drawdown of the debt in the current year. This debt is fully payable in October 2034.

Increase in deferred capital contributions of \$2.3m includes new capital grant of \$11.1m received in the current year, offset by \$8.8m YTD amortization into revenues of all capital grants received since inception of the University. New capital grants received include \$7.6m SIF grant for SIRC construction, \$2.3m for the Moving Ground Plane, \$0.7m for building and lab maintenance, and \$0.5m Graduate Expansion Grant.

CONSOLIDATED STATEMENT OF OPERATIONS

Revenue

Total Revenue increased \$10.8m (5.6%) over last year, and includes:

- (i) Grant revenue increase of \$1.4m, comprising of \$0.8m undergraduate accessibility grant to support YOY enrolment domestic growth of 265 FTE and \$0.6m increase in external research grant.
- (ii) Student tuition fees increase \$5.1m, attributable to the YOY increase in FTE (approx. \$2.8m), coupled with average 3% YOY increase in tuition fees (approx. \$2.3m).
- (iii) Other income increase of \$1.4m includes \$1.1m increase in ACE revenue due to higher % of commercial clients. Total other income of \$13.6m includes \$4.0m ACE, \$3.2m of revenues from our share of the collaborative nursing program with Durham College, \$1.5m arena and fieldhouse revenues, \$0.9m of student application fees from COU, and other amounts none of which exceeds \$0.5m.
- (iv) Unrealized gain on investment increase of \$3.1m is due to strong performance of the equity market in the current year relative to the weak performance of the overall market in the prior year, offset by
- (v) Other increases / decreases, none exceeding \$1.0m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

CONSOLIDATED STATEMENT OF OPERATIONS (continued)

Expenses

Total Expenses increased \$1.5m (0.8%) over last year, and includes:

- (i) Salaries and benefits increase of \$2.3m includes \$2.3m annual salary increases effective July 1, 2017, \$1.3m earned administrative leave, \$0.4m increase in sessionals & teaching assistants to support increased student FTE and \$0.3m in net new hires (4 faculty and 1 non-faculty). These increases are offset by \$0.9m savings due to vacant positions (2 Deans, one of which was hired late Q4 and 5 unfilled administrative positions), \$0.8m in one-time retro payment to faculties as part of the collective agreement and salary accruals in the prior year, and \$0.3m consumption of vacation accruals. This is offset by,
- (ii) Amortization of capital assets decrease of \$1.3m is due to a decrease in the capital asset base resulting from a number of assets that are fully depreciated in the current year, coupled with a higher number of laptops disposed as a result of “BYOD”, and
- (iii) Other increases / decreases, none exceeding \$1.0m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

II. FINANCIAL METRICS

The Ministry has adopted 5 financial metrics to assist with assessing university financial health and sustainability. The 2014 – 15 metrics have been included in the 2015 – 16 SMA (Strategic Mandate Agreement) report-back cycle to the Ministry in November 2016.

The table below shows the financial metrics for the University for the 3 fiscal years 2015, 2016 and 2017. Also included are the average comparator and average sector metrics for fiscal year 2016 (latest published data). The average comparator includes the data for what is classified as “small” universities based on student FTE (‘Full-time equivalents’). The small sector universities comprise of 7 universities: Algoma, Lakehead, Laurentian, Nipissing, OCADU, Trent and UOIT.

Financial Metrics	Actual 2015	Actual 2016	Actual 2017	Average comparator 2016	Average sector 2016
Net Income/Loss Ratio (1)	4.5%	1.7%	6.2%	-0.4%	2.5%
Net Operating Revenues Ratio (2)	11.1%	10.9%	18.1%	2.6%	6.6%
Primary Reserve Ratio (days) (3)	14	27	40	24	94
Interest Burden Ratio (4)	10.0%	9.4%	8.9%	3.3%	2.3%
(b) IBR w MTCU funding	2.4%	2.2%	2.0%	n/a	
Viability Ratio (5)	3.1%	6.4%	10.0%	11.8%	154.7%

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 2016 - 2017 due to its surplus revenues over expenses, as a result of growth and savings from open faculty positions and planned capital reserves.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

II. 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.

This ratio has improved over the prior year due to UOIT's improved cash position, which is as a result of its operating surplus coupled with an increase in its working capital primarily due to the timing of payment of large invoices (e.g. \$5.0m of Ellis Don invoices 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) as a result of the current year operating surplus.

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

UOIT's interest burden is improving 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 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 Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

II. 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

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

April 1, 2016 - March 31, 2017									
	Total Annual Budget	Y/E Forecast	Actuals	Fav. (Unfav.) Actual vs Budget \$ / %		Fav. (Unfav.) Forecast v/s Budget \$ / %		Fav. (Unfav.) Actual vs Forecast \$ / %	
Revenue									
Grants	76,297	77,102	78,968	2,671	4%	805	1%	1,867	2%
Tuition	74,266	74,513	76,467	2,202	3%	248	0%	1,954	3%
Student Ancillary	14,025	13,449	13,822	(203)	-1%	(576)	-4%	374	3%
Other	14,903	16,057	17,187	2,284	15%	1,154	8%	1,130	7%
Total Revenue	\$ 179,491	\$ 181,121	\$ 186,445	\$ 6,954	4%	\$ 1,630	1%	5,324	3%
Expenditures									
Academic/ACRU	67,164	65,370	64,115	3,049	5%	1,794	3%	1,255	2%
Academic Support	33,261	32,983	32,815	446	1%	278	1%	168	1%
Administrative	31,676	26,854	26,348	5,328	17%	4,822	15%	506	2%
Total UOIT Pure	\$ 132,100	\$ 125,206	\$ 123,277	\$ 8,823	7%	\$ 6,894	5%	\$ 1,929	2%
Purchased Services	14,032	14,154	13,618	414	3%	(122)	-1%	537	4%
Total Ancillary/Commercial	9,632	9,340	9,510	122	1%	293	3%	(170)	-2%
Total Other Expenses	11,391	11,242	11,242	149	1%	149	1%	0	0%
Total Operating Expenses	\$ 167,155	\$ 159,942	\$ 157,647	\$ 9,508	6%	\$ 7,213	4%	\$ 2,295	1%
Net Contribution from Operations	\$ 12,336	\$ 21,179	\$ 28,799	\$ 16,462	133%	\$ 8,843	72%	\$ 7,619	36%

Cash outflows for items classified on the Balance Sheet

Capital Expenses funded from Operations	7,226	10,062	10,037	(2,811)	-39%	(2,837)	-39%	25	0%
Principal Repayments - debenture/leases	5,110	5,070	5,110	(0)	0%	40	1%	(40)	-1%
Net Surplus from Operations	\$ 0	\$ 6,047	\$ 13,651	\$ 13,651	172%	\$ 6,047	0%	\$ 7,604	126%

Other disclosure: SIRC Building (not funded from Operating Budget)

Capital Grant	-	5,042	7,567	7,567	-	5,042	-	2,525	50%
Internally-Restricted Reserves	-	7,810	9,434	9,434	-	7,810	-	1,624	21%
Capital Expenses	-	12,852	17,001	(17,001)	-	(12,852)	-	(4,149)	-32%

Reconciliation to Y/E GAAP FS:

Net contribution from Operations	\$ 28,799
Revenues not budgeted:	
Externally funded research donations and revenues	10,514
Expenses not budgeted:	
Externally funded research expenses	(9,364)
Non-cash transactions:	
Amortization of capital assets	(24,859)
Amortization of deferred capital contributions	8,796
Unrealized gain on investments	1,702
Capital Grants accounted for as Deferred Capital Contribution on the balance sheet	(2,985)
Excess revenues over expenses - as per GAAP Financial Statements	\$ 12,604

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

III. 2016-17 Operating Analysis

The operating surplus, after capital expenses, debenture and lease payments, is \$13.6m against a 2016 - 17 balanced budget.

The 2016 - 17 operating budget did not include the impact of the construction of the new SIRC Building, and hence this is shown separately under “Other Disclosure”.

Below is a summary of the variances of the year-end actual relative to the approved budget.

Enrolment

FTE's	2016 - 17 Approved Budget	2016 -17 Projection	2016 - 17 Actual	Variance to Approved Budget
Undergraduate				
Domestic	7,876	7,894	7,949	73
International	431	444	469	38
Graduate				
Domestic	388	376	369	-19
International	137	133	129	-8
Total FTE's	8,832	8,847	8,916	84

Our actual enrolment data shows a net 84 FTE against a budget of 8,832 FTE with the most significant growth (net 62 FTE) in the Faculty of Engineering and Applied Science.

Revenues

Grants are favourable to budget \$2.7m, of which

- (i) \$0.8m was included in the Q3 forecast (\$2.2m grant received in Dec 2016 from MEDG for the purchase of the Moving Ground Plane, offset by decrease \$0.7m relating to the teacher's enrolment grant which was erroneously included twice in the budget, and decrease of \$0.6m facilities renewal grant re-allocated to the SIRC construction as approved by the Ministry).
- (ii) Additionally, there is a \$1.9m favourable variance to forecast which includes \$1.4m of undergraduate accessibility grant received in the fiscal year due to enrolment growth, and \$0.5m of higher than forecast miscellaneous grants, none of which exceeds \$0.1m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

III. 2016-17 Operating Analysis (continued)

Tuition is favourable to budget \$2.2m. This includes \$0.7m due to growth and \$1.5m positive variance as the budget model for 2016-17 was understated for the calculation of the Faculty of Engineering tuition fees and “student drops”. This has been adjusted for future enrolment modelling.

Other Revenue, including purchased services, is favourable \$2.3m to budget, of which

- (i) \$1.2m was included in the Q3 forecast (\$0.6 COU application fees budgeted conservatively in 2016-17, \$0.3m more in parking revenues).
- (ii) Additionally, actual is favourable \$1.1m to forecast and includes miscellaneous additional revenues, none exceeding \$0.2m (ACE commercial revenue due to increased use of climatic wind tunnel, higher than forecast number of events at the Regent Theater).

Expenditures

The Academic/ACRU units are showing a positive variance of \$3.0m to budget, of which

- (i) \$1.8m was recognized in Q3 forecast, mostly relating to open faculty positions in the Faculties of Business and IT, Engineering and Health Science.
- (ii) In addition, there is a \$1.2m variance of actual to forecast which includes \$0.4m in faculty part-time salary savings, \$0.3m in general OPEX savings, \$0.3m undistributed graduate awards, \$0.2m underspending in faculty start-up and professional development and other immaterial variances.

The Administrative units are \$5.3m favourable to budget. This includes

- (i) \$4.8m which was recognized in the Q3 forecast (\$3.9m release of unused operational contingency and capital reserves, \$0.5m job evaluation reserve not utilized in the current year, and other immaterial variances).
- (ii) In addition, there is a \$0.5m favourable variance to forecast. This includes \$1.7m underspending in various areas: \$0.6m Finance/Central (benefit recovery and agency collection fees), \$0.6m External Relations (contract services, promotion), \$0.5m in Facilities (repairs and maintenance and general expense), offset by \$1.2m additional administrative leave expense.

Purchased Services is favourable \$0.4m to budget due to a duplication of thermal energy charges in the utilities budget from Durham College.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

III. 2016-17 Operating Analysis (continued)

Capital Expenses funded from Operations are unfavourable \$2.8m to budget and includes \$2.6m disbursed in Sep 2016 to Old Dominion University for the purchase of the Moving Ground Plane (rolling road). The cost of the rolling road was funded by a \$2.5m grant from MEDG, of which \$2.25m was received in Nov 2016.

Other Disclosure: SIRC Building

The total costs incurred for the project in 2016 – 17 are \$17.0m, of which \$7.6m is funded through the “SIF” grant and \$9.4m through prior year internally restricted reserves.

Capital grant is favourable to forecast as the University received \$4.0m from MAESD on March 31, 2017 (v/s an expected \$1.475m as per the agreement with the Province), as a result of the Ministry shifting funds to those projects that are in a more advanced stage of construction.

Construction costs are \$4.1m unfavourable as the forecast did not include the accrual of \$2.3m work done by Ellis Don in March 2017 (invoiced in April 2017) and \$1.8m of construction and warranty holdback liability.

Operating Surplus v/s GAAP Surplus

There are a number of accounting adjustments that are not included in the Board approved operating budget (e.g. externally funded research grants, amortization of capital assets and amortization of capital grants received). Including the impact of these accounting transactions, the operating surplus on a GAAP (generally accepted accounting principles) basis is \$12.6m.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

IV. CAPITAL

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

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

In March 2016, UOIT’s Board of Governors approved the award of the design and build of a new building (“SIRC”) to 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 target date for completion of the 4 floors fully fitted-out is Nov 2017, with occupancy in Jan 2018.

As at March 31, 2017, the total costs incurred on the SIRC project amount to \$17.0m against a total budget of \$33.5m. The expenses incurred includes \$5.0m of invoices for work done in the fiscal year and paid after year-end, and \$1.8m of construction and warranty holdbacks.

Please see separate report for details of SIRC actual cash flow, budget and forecast to completion date.

B. Moving Ground Plane (“MGP”)

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

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

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

IV. CAPITAL (continued)

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 USD 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 in November 2016.
- All components of the rolling road are now at the Multimatic location.
- Executive Management is currently conducting active discussion with the Federal Government, Province and our industry partners to obtain the funding required for the installation and integration of the MGP into the ACE facility.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

V. CASH FLOW

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

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

In September 2014, and as approved by the Board, the University invested \$16.0m surplus operating cash in short-term GIC's at BMO 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.

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

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

Cash Flow Update

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

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

- **Operating cash balance**, including short-term investments, is \$46.5m at the end of the fiscal year.
- **Externally and internally restricted cash balances** (including, Research, Advancement, Campus Childcare, Regent Theater, and ACE) is \$10.6m at the end of the fiscal year.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

Cash Flow Summary for the year ended March 31, 2017

		Actual	Actual	Actual	Actual			Total Actual
		Apr - Jun 2016	Jul - Sep 2016	Oct - Dec 2016	Jan 2017	Feb 2017	Mar 2017	FY 2016-17
		\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s	\$ 000 s
Operating Beginning Cash Balance	A	\$ 14,918	\$ 3,234	\$ 23,209	\$ 10,203	\$ 32,834	\$ 28,110	\$ 14,918
Total Operating Inflows	B	35,107	62,752	35,017	35,884	8,751	10,978	188,489
Total Operating Outflows	C	(46,381)	(41,692)	(47,874)	(12,186)	(9,506)	(14,124)	(171,763)
Net Operating Cash Flows	D=B+C	(11,274)	21,060	(12,856)	23,698	(755)	(3,146)	16,727
Total Operating Cash Available	E=A+D	3,644	24,294	10,353	33,901	32,079	24,963	31,645
SIRC Building Outflows	F	(410)	(1,085)	(3,100)	(1,685)	(3,969)	(34)	(10,283)
SIRC Building Inflows	G			2,950	617	0	4,000	7,567
Net SIRC Building	H=F+G	(410)	(1,085)	(150)	(1,068)	(3,969)	3,966	(2,716)
Operating Ending Cash Balance after SIRC	I=E+H	3,234	23,209	10,203	32,834	28,110	28,929	28,929 N1
Total Internally and Externally Restricted Cash	J	10,722	10,528	11,203	10,903	10,851	10,571	10,571 N2
Total Consolidated Cash Position	K=I+J	\$ 13,957	\$ 33,737	\$ 21,406	\$ 43,736	\$ 38,961	\$ 39,500	\$ 39,500

Total cash position as at MAR 31, 2017	\$
Total Operating Cash after SIRC	28,929 N1
Add: Short-term investments in GIC's	17,593
Total Operating Cash and ST investments	<u>\$ 46,522</u>

Total Restricted Cash	<u>\$ 10,571 N2</u>
-----------------------	---------------------

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY
Financial Update – Report to Audit and Finance Committee – June 12, 2017
For the year ended March 31, 2017

VI. LONG-TERM FORECAST

In April 2017, 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 2017 – 18 to 2026 – 2027 inclusive.

Assumptions on April 2017 forecast model

- 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)
 - SMA 3 negotiation with MAESD in 2018-19 for growth funding above the corridor in 2022-23.
 - For 2023-24, full funding of growth
- Growth in international undergrad (mostly engineering and business), offset by a slight decline in domestic undergrad.
- Tuition YOY average increase at the current approved rate of 3.0%
- Retention rate held at current rate of 80.3%
- Salary increases as per the new JES and as per faculty collective agreements
- New faculty hires to maintain current student to faculty ratio
- New administrative hires - 2:1 for every new faculty hire
- Faculty headcount annual attrition \$0.5m
- TELE transformation to a full “BYOD” model by FY 2019 - 20
- Operational reserves \$2.0m + planned capital reserves \$2.5m for a total of \$4.5m
- 3% YOY increase in utilities
- 2% YOY increase in purchased services cost from Durham College

The operating long-term forecast excludes both the moving ground plane as this project is to be funded through external funding, and the SIRC building as this is fully funded by the SIF grant and UOIT’s prior year internally restricted reserves.

Balancing the budget over the long-term

Currently, the long-term forecast shows a slight deficit over the 10-year period with surpluses in Years 1 - 4 used to cover the deficits in the later years.

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY - LONG-TERM FORECAST

10 year Forecast										
Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	
17/18 Budget	18/19 Fcst	19/20 Fcst	20/21 Fcst	21/22 Fcst	22/23 Fcst	23/24 Fcst	24/25 Fcst	25/26 Fcst	26/27 Fcst	Total Forecast
\$ 68,228,994	\$ 68,287,719	\$ 68,281,095	\$ 68,278,382	\$ 68,252,380	\$ 68,989,942	\$ 69,492,921	\$ 69,995,140	\$ 70,671,998	\$ 71,472,775	\$ 691,951,346
\$ 7,469,273	\$ 8,452,205	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 8,658,566	\$ 85,190,006
\$ 78,317,803	\$ 82,726,233	\$ 86,380,233	\$ 90,468,808	\$ 94,260,163	\$ 98,637,682	\$ 103,372,176	\$ 107,902,891	\$ 111,291,263	\$ 117,140,098	\$ 970,497,350
\$ 10,690,414	\$ 10,705,747	\$ 8,963,305	\$ 9,012,509	\$ 9,063,205	\$ 9,434,673	\$ 9,536,702	\$ 9,608,965	\$ 9,698,840	\$ 9,785,876	\$ 96,500,236
\$ 3,437,900	\$ 3,547,158	\$ 3,612,701	\$ 3,679,555	\$ 3,747,746	\$ 3,822,701	\$ 3,899,155	\$ 3,977,138	\$ 4,056,681	\$ 4,137,815	\$ 37,918,551
\$ 680,000	\$ 714,000	\$ 749,700	\$ 787,185	\$ 826,544	\$ 867,871	\$ 911,265	\$ 956,828	\$ 1,004,670	\$ 1,054,903	\$ 8,552,967
\$ 12,619,465	\$ 13,005,341	\$ 13,202,065	\$ 13,422,021	\$ 13,538,573	\$ 13,550,198	\$ 13,563,172	\$ 13,570,755	\$ 13,588,110	\$ 13,607,151	\$ 133,666,852
\$ 181,443,849	\$ 187,438,403	\$ 189,847,666	\$ 194,307,027	\$ 198,347,177	\$ 203,961,634	\$ 209,433,957	\$ 214,670,284	\$ 218,970,128	\$ 225,857,184	\$ 2,024,277,307
\$ (86,625,327)	\$ (90,762,949)	\$ (93,933,294)	\$ (97,477,518)	\$ (101,214,907)	\$ (105,434,181)	\$ (109,762,757)	\$ (114,208,034)	\$ (119,447,692)	\$ (124,510,520)	\$ (1,043,377,178)
\$ (16,227,166)	\$ (15,859,235)	\$ (16,365,750)	\$ (17,186,880)	\$ (17,623,591)	\$ (17,974,710)	\$ (18,320,141)	\$ (18,654,242)	\$ (19,013,672)	\$ (19,393,068)	\$ (176,618,455)
\$ (72,527,893)	\$ (73,073,319)	\$ (73,678,477)	\$ (74,442,017)	\$ (75,034,641)	\$ (75,739,936)	\$ (76,473,268)	\$ (77,191,426)	\$ (77,941,520)	\$ (78,538,540)	\$ (754,641,037)
\$ (6,517,993)	\$ (5,472,296)	\$ (5,750,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (5,024,927)	\$ (52,915,705) \$ -
\$ (181,898,378)	\$ (185,167,798)	\$ (189,728,448)	\$ (194,131,342)	\$ (198,898,066)	\$ (204,173,754)	\$ (209,581,093)	\$ (215,078,629)	\$ (221,427,811)	\$ (227,467,055)	\$ (2,027,552,375)
\$ (454,530)	\$ 2,270,605	\$ 119,217	\$ 175,686	\$ (550,889)	\$ (212,121)	\$ (147,136)	\$ (408,344)	\$ (2,457,683)	\$ (1,609,871)	\$ (3,275,067)
\$ 1,525,904	\$ 225,436	\$ 648,860	\$ 350,004	\$ 297,202	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,047,406
\$ 1,071,374	\$ 2,496,041	\$ 768,077	\$ 525,690	\$ (253,687)	\$ (212,121)	\$ (147,136)	\$ (408,344)	\$ (2,457,683)	\$ (1,609,871)	\$ (227,661)

UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY

SUMMARY OF INTERNALLY RESTRICTED RESERVES FOR THE YEAR ENDED MARCH 31, 2017

	Opening balance as at April 1, 2016 (\$'000)	Reserves used in 2016-17 (\$'000)	2016 - 17 Recommendations		Closing balance as at March 31, 2017 (\$'000)
			Planned / per policy (\$'000)	Additional (\$'000)	
Internally restricted assets					
Research related activities	4,790	0	181	0	4,972
Capital related activities	21,545	(9,434)	2,554	0	14,666
Student awards	625	(115)	0	490	1,000
Working capital	6,000	0	0	0	6,000
Faculty budget carry-forward	1,723	(928)	809	0	1,604
Fundraising campaign	0	0	0	1,505	1,505
Other	1,609	(128)	346	0	1,827
Total internally restricted assets	\$ 36,293	\$ (10,605)	\$ 3,891	\$ 1,995	\$ 31,574



BOARD REPORT

Action Required:

Non-Public: ☐
Public: ☒

Discussion ☒
Decision ☒

TO: Board of Governors

DATE: June 22, 2017

FROM: Miles Goacher, Chair of Audit and Finance Committee

SUBJECT: 2017 – 2019 Tuition Fees - Addendum

A. Purpose

We are seeking the Board's approval of a tuition fee for the new graduate diploma in Work Disability Prevention.

B. Background/Context

In May 2016 the Faculty of Health Sciences in collaboration with the Canadian Memorial Chiropractic College (CMCC) proposed a new graduate diploma in Work Disability Prevention (WDP) which was accepted by Academic Council. As we are finalizing the partnership agreement, we will be moving forward with the offering of the program fall 2017 providing enough students register. The proposed fee will align with our other cost recovery diploma in education.

The addition to the tuition fees approved at the May 3, 2017 meeting of the Board is as follows:

Credit Based- Domestic

	2017-2018	2018-2019	Rate of Increase	
			16/17 to 17/18	17/18 to 18/19
Diploma in WDP				
Per 3-credit Course	\$1,717.29	\$1,751.63	2.0%	

This graduate diploma focuses on the implementation of new knowledge for practicing professionals working in health-related fields. It specifically targets the societal networks and complexities of return to work coordination. It focuses on unique applications of the

biopsychosocial model of return to work. Rather than focusing on just the diagnosis, the program also delves into understanding the root causes of disability.

C. Recommendations

We recommend the Board's approval of the following motion:

Pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors hereby approves the 2017-2019 tuition fees for the graduate diploma in Work Disability Prevention, as presented.

Software & Informatics Research Centre (SIRC)

Board of Governors Update Presentation – June 22, 2017



Progress Update (as of 12nd June 2017) :

- Gas, Power, Water and Telephone ready. Elevator installation in progress.
- 1st and 2nd floor – painting, ceiling, tiling and carpet laying in progress.
- External brick wall completed. Metal cladding in progress.
- Landscaping and parking work in progress. Equipment commissioning started.
- Project is currently tracking to schedule.

Progress Photos



Site Safety:

- Nothing to report - no incident on site this period

Change Orders:

- No change order requested and approved this month

Procurement Summary:

- GMP sub-trade tenders completed for all 4 levels and on budget.
- 59% of \$3.6M in UOIT FFE tenders committed with potential savings of \$500K

Financial Summary:

- Total SIF funding received \$6.95M
- Project Contingency still remain
- Breakdown of Sources and Uses of funds next slide.
- The project remains on budget at \$33.3M

Summary Financial Report

CASH FLOW REPORT FOR ENDING MONTH OF MAY 2017

Sources of Funds													
Description	Actuals May 2017	Budget May 2017	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	\$2,339,559	\$2,339,978	\$8,383,263	\$11,050,552	-\$2,667,290	Actual spending is less with SIF grants received more than planned.	\$20,298,110	\$8,383,263	\$11,676,611	\$20,059,874	-\$238,236		
SIF	\$0	\$0	\$6,950,236	\$5,042,363	\$1,907,873	Last March SIF grant received is 200% compared to budget	\$13,001,890	\$6,950,236	\$6,051,654	\$13,001,890	\$0		
Advancement	\$0	\$0	\$0	\$0	\$0	Advancement funds have not officially been commitment to the project.	\$0	\$0	\$0	\$0	\$0		
Totals	\$2,339,559	\$2,339,978	\$15,333,499	\$16,072,781	-\$759,417	See variance explanation below	\$33,300,000	\$15,333,499	\$17,728,265	\$33,061,764	-\$238,236		
Uses of Funds - Trend Line													
Description	Actuals May 2017	Budget May 2017	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	\$1,947,039	\$1,947,039	\$12,935,247	\$12,905,415	\$29,832	Phase 1 work progress variance	Substantial Completion	8/1/2017	\$20,630,966	\$12,935,247	\$7,695,719	\$20,630,966	\$0
CO3 GMP Fl. 3&4	\$275,029	\$275,029	\$491,709	\$486,435	\$5,274	Phase 2 work progress variance	Substantial Completion	11/10/2017	\$5,657,627	\$491,709	\$5,165,919	\$5,657,627	\$0
CO1 Fl. 3&4 Design	\$0	\$0	\$77,351	\$77,351	\$0	Work completed.	Complete	Completed	\$87,899	\$77,351	\$10,548	\$87,899	\$0
CO2 Transformer	\$96,823	\$96,823	\$96,823	\$96,823	\$0	Work completed.	Power-on	Completed	\$110,026	\$96,823	\$13,203	\$110,026	\$0
CO4 Donor Signage	\$0	\$0	\$0	\$0	\$0	Invoicing forecasted on June 2017 billing	Substantial Completion	8/1/2017	\$8,928	\$0	\$8,928	\$8,928	\$0
CO5 Door Operators	\$0	\$0	\$0	\$0	\$0	Invoicing forecasted on July 2017 billing	Substantial Completion	11/10/2017	\$0	\$0	\$201,041	\$201,041	\$201,041
Design	\$0	\$0	\$310,230	\$310,230	\$0	Work completed.	Complete	Completed	\$310,230	\$310,230	\$0	\$310,230	\$0
FFE	\$0	\$0	\$24,901	\$50,000	-\$25,099	Actual invoice for the Fibre work from Library to Wiley	Substantial Completion	11/10/2017	\$3,619,350	\$24,901	\$3,094,449	\$3,119,350	-\$500,000
Consultants	\$15,512	\$15,512	\$254,097	\$269,897	-\$15,800	Signage invoice lower than budgetted.	NA	NA	\$300,749	\$254,097	\$216,450	\$470,547	\$169,799
Parking	\$0	\$0	\$986,943	\$1,011,711	-\$24,769	Certified work completed less than the contract award value.	Substantial Completion	Completed	\$1,018,975	\$986,943	\$16,768	\$1,003,711	-\$15,264
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 unknown items that could have arisen during early construction.	NA	NA	\$1,271,666	\$0	\$1,271,666	\$1,271,666	\$0
Management Fees	\$5,157	\$5,576	\$156,198	\$157,011	-\$813	Miscellaneous disbursement and salary variance	NA	NA	\$283,585	\$156,198	\$33,575	\$189,774	-\$93,811
Totals	\$2,339,559	\$2,339,978	\$15,333,499	\$16,072,781	-\$739,282				\$33,300,000	\$15,333,499	\$17,728,265	\$33,061,764	-\$238,236

Summary Financial Report

A & F Reporting as of MAY 2017									
Sources of Funds - Actuals									
Description	Total Funding Budget	Actual YTD May 2017	Jun 2017	Jul 2017	Aug 2017	Sep 2017	Oct 2017	Nov 2017	Dec 2017
A									
UOIT	\$20,298,110	\$8,383,263	\$181,542	\$2,200,391	\$2,515,126	-\$148,104	\$3,356,283	\$1,383,043	(\$381,871)
SIF	\$13,001,890	\$6,950,236	\$1,475,000	\$0	\$0	\$2,950,000	\$0	\$0	\$1,626,654
Advancement	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Totals	\$33,300,000	\$15,333,499	\$1,656,542	\$2,200,391	\$2,515,126	\$2,801,896	\$3,356,283	\$1,383,043	\$1,244,783
Uses of Funds - Actuals									
Description	Total Budget	Actual YTD May 2017	Jun 2017	Jul 2017	Aug 2017	Sep 2017	Oct 2017	Nov 2017	Dec 2017
A									
GMP Base Contract Construction Contract	\$20,630,966	\$12,935,247	\$1,344,265	\$1,566,095	\$1,447,800	\$861,844	\$2,063,097		
CO3 GMP Fl. 3&4	\$5,657,627	\$491,709	\$282,267	\$575,545	\$713,136	\$970,136	\$813,136	\$684,544	\$437,957
CO1 Fl. 3&4 Design	\$87,899	\$77,351					\$8,790		
CO2 Transformer	\$110,026	\$96,823							
CO4 Donor Signage	\$8,928	\$0	\$8,928						
CO5 Door Operators	\$0	\$0		\$24,125	\$48,250	\$80,416	\$48,250		
Design Build Preliminary Phase	\$310,230	\$310,230							
FFE incl. Level 1-4	\$3,619,350	\$24,901		\$13,617	\$262,100	\$856,000	\$370,675	\$665,000	\$791,057
Consultants	\$300,749	\$254,097	\$15,512	\$15,512	\$38,343	\$28,002	\$30,070	\$28,002	\$15,512
Parking	\$1,018,975	\$986,943	\$0	\$0	\$0	\$0	\$16,768		
Contingency	\$1,271,666	\$0							
Management Fees	\$283,585	\$156,198	\$5,571	\$5,498	\$5,498	\$5,498	\$5,498	\$5,498	\$257
Totals	\$33,300,000	\$15,333,499	\$1,656,542	\$2,200,391	\$2,515,126	\$2,801,896	\$3,356,283	\$1,383,043	\$1,244,783

Summary Financial Report

A & F Reporting as of MAY 2017 (cont'd)																Estimate to Complete	See Legend Below
Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019			
\$749,159	\$9,824	\$9,824	\$0	\$0	\$0	\$0	\$0	\$0	\$416,578	\$0	\$0	\$113,153	\$0	\$0			
															\$20,059,875.35		
\$0	\$0		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$13,001,890.00		
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0.00		
\$749,159	\$9,824	\$9,824	\$0	\$0	\$0	\$0	\$0	\$0	\$416,578	\$0	\$0	\$113,153	\$0	\$0	\$33,061,765	1	
Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Estimate to Complete		
									\$412,619						\$20,630,966		
\$576,046												\$113,153			\$5,657,627		
									\$1,758						\$87,899		
\$11,003									\$2,201						\$110,026		
															\$8,928		
															\$201,041		
															\$310,230		
\$136,000															\$3,119,350	2	
\$25,853	\$9,824	\$9,824													\$470,547		
															\$1,003,711		
															\$1,271,666	3	
\$257															\$189,774		
\$749,159	\$9,824	\$9,824	\$0	\$0	\$0	\$0	\$0	\$0	\$416,578	\$0	\$0	\$113,153	\$0	\$0	\$33,061,765	1	
															Legend:		
															1	Forecast project cost at completion	
															2	Forecasted cost savings in FFE budget is \$500K	
															3	Contingency is assumed to be expensed at this stage.	



BOARD REPORT

Action Required:

Public: X
Non-Public:

Discussion ☒
Decision ☐

TO: Board of Governors

DATE: June 22, 2017

FROM: Cheryl Foy, University Secretary and General Counsel

SUBJECT: University Risk Management Report

A. Purpose

The purpose of this Report is to provide the Board of Governors with the 2017 Annual Risk Management Report. This Report is intended to meet the Board's request for an annual report relating to risk management activities and progress against risk management goals and objectives.

B. Background/Context

The Board has delegated responsibility for oversight of risk management and compliance to the Audit and Finance Committee. Within the Terms of Reference of the Audit and Finance Committee the following requirements are noted:

Reviewing and approving the risk management process at the university ensures that the appropriate processes are in place to determine management's risk parameters and risk appetite; and

Monitoring and ensuring that appropriate processes are in place to identify, report and control areas of significant risk to the university and ensuring that appropriate mitigating actions are taken or planned in areas where significant or material risk is identified; and

Receiving regular reports from management on areas of significant risk to the university, including but not limited to legal claims, development (fundraising activities), environmental issues, health, safety and other regulatory matters; and

Reporting up to the full Board.

C. Discussion and Rationale

In 2016-17, the Audit and Finance Committee of the Board received regular reports on the progress of University Risk Management. At its meeting on June 12, 2017, the Committee received, reviewed and commented on the draft 2017 Annual University Risk Management Report. There was a discussion and concern raised about the adequacy of resources and an agreement that this should be monitored.

The Audit Committee received the 2017 University Risk Management report as a report on the progress made by the University in advancing the development of a risk management culture this past year, and undertook to monitor the University's progress against the stated goals in 2017-18.

The Risk Management Report is divided into two components. The Cover letter, Annual Report and Appendix A are public materials. There are also confidential attachments. Questions about these attachments may be raised in the non-public session.

D. Request

The Audit and Finance Committee requests that the Board receive the 2017 University Risk Management report. No motion is required to receive the report.

However, it is open to the Board to give direction in respect of any aspect of the report or to adopt any aspect of the report. If direction is given or adoption of an aspect of the report is desired, a motion is required.

In 2016, the Board received the first Risk Management Report and directed by motion that a similar report be presented to the Board annually.



ANNUAL UNIVERSITY RISK MANAGEMENT REPORT

June 22, 2017

Prepared by:
Cheryl A. Foy, Chief Risk Officer
Elaine Wannamaker, Director of Risk Management
With Commentary from the Risk Management Committee

2017 UNIVERSITY RISK MANAGEMENT REPORT

TABLE OF CONTENTS

PART I – INTRODUCTION	3
PART II – PROCESS AND STATUS UPDATE	4
1. Historical Overview	4
2. How Does the Board Measure Progress?	4
3. Measuring 2016 – 2017 Progress:	5
a. Measure 1: How has UOIT Sustained URM as a Priority?	5
i. Final UOIT Risk Register	5
ii. Education and Training	6
iii. Finalization of Strategic Risks	6
iv. Annual Risk Management Report	6
v. Senior Leadership Team	6
vi. Risk Management Committee	7
b. Measure 2: Does URM have an Assigned Leader?	7
c. Measure 3: Has the Board discussed Top Risks?	8
d. Measure 4: URM is Part of A&F Work Plan and Board Annual Discussion	8
e. Measure 5: URM Board Training	8
f. Measure 6: Board Assessment	8
PART III – GOING FORWARD	9
4. 2017-18 Goals and Objectives	9
5. Conclusion	10
Appendix A Risk Management Policy	

2017 UNIVERSITY RISK MANAGEMENT REPORT

PART I - INTRODUCTION

The UOIT Board has 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, 2017, 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”.

2017 UNIVERSITY RISK MANAGEMENT REPORT

PART II – PROCESS AND STATUS

1. HISTORICAL OVERVIEW

UOIT is in its third 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

2. HOW DOES THE BOARD MEASURE URM PROGRESS?

As established in the UOIT first Annual Risk Report dated June, 2016, 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.

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).

2017 UNIVERSITY RISK MANAGEMENT REPORT

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 progress in University Risk Management as against the adopted measures described above.

3. MEASURING 2016-17 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 higher education culture is evidenced by the integration of URM into all strategic and planning processes. Integrated URM fosters the desired risk-informed culture across the University. Clearly defined structure, roles and accountability are critical to the success of the implementation.

In 2016-17, UOIT has made progress against the goals assigned to UOIT in 2016-17:

i. Final UOIT Risk Register

Good progress has been made toward the completion of a final UOIT register. Draft registers are in place for risk owners. Summaries of most of the registers by risk owner are included as Confidential Attachment 1. The remaining registers are currently being reviewed by the risk owners.

While a few risks have been added, and a few deleted, there is no change to the substance and nature of the risks described in last year's report. However, much work has been done in the past year to analyze, synthesize, and organize the risks. For example, where risks associated with lack of space appeared in a number of registers, the lack of space is now one risk assigned to the Space Working Group. The descriptions of the impact of the lack of space on different

2017 UNIVERSITY RISK MANAGEMENT REPORT

faculties and departments across the University now form part of the description of the risk and no longer appear as a separate risk.

This exercise has resulted in a simplification of the risk register:

Risk Domain	Reported Risks 2015-16	Risks after Synthesis and Reorganization
Operational	165 draft risks	57 draft risks
Financial	36 draft risks	13 draft risks
Reputational	12 draft risks	3 draft risks
Compliance	40 draft risks	18 draft risks
Total:	253	91

ii. Education and Training

The risk team made very good progress in education and training. A major focus of this goal was the development of a revamped and updated 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. The site address is: <https://usgc.uoit.ca/risk-management/index.php>.

The Director of Risk Management advised on the development of 22 risk assessments and plans, and attended 230 meetings to provide advice to the community on risk matters. These activities are included in metrics that the risk department is proposing to continue to track.

iii. Finalization of the List of Strategic Risks

While there were some discussions related to strategic risk at the 2016 Board Retreat and by SLT, the two bodies have not yet finalized the list of strategic risks. This is a proposed risk management priority for the 2017-18 year.

iv. Annual University Risk Management Report

This Annual University Risk Management Report dated June 22, 2017, fulfils this objective.

v. Senior Leadership Team

The SLT was asked to set the tone at the top to support risk management and good progress was made in this area. The President developed and oversaw the implementation of initiatives to integrate risk management with some key planning processes including budget, space, and academic planning by giving risk management responsibility to the Budget Working Group, Space Working Group and Academic Council. As this happened part way through the fiscal year, 2017 and 2018 will be the first year that UOIT will see the integration of risk into these processes. Having said that, however, information gathered through the 2015-16 risk work was

2017 UNIVERSITY RISK MANAGEMENT REPORT

incorporated and reported on in the 2017-18 Budget Presentation to the Audit & Finance Committee and to the Board.

SLT was asked to oversee the completion of the risk registers and there has been good cooperation from the SLT in this regard. It is noteworthy and important that, under the leadership of the Provost and now Acting Provost, the Deans as a group have been particularly supportive. Having support for URM within the academic leadership team is crucial to the success of URM.

As noted above, UOIT has not made as much progress as it would have liked in respect of the strategic and foundational risks. This will need to be an area of focus in the coming year.

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 2016-17 academic year, the RMC was charged with responsibility to support the completion of the final risk register and in this regard, they have fulfilled this objective. The Risk Committee was composed of the following individuals from across the University:

Cheryl Foy (Chair) , Elaine Wannamaker (Risk Management), Scott Clerk (International), Paul Bignell (IT), Jocelyn Churchill (HR), Matthew Mackenzie (External Relations), Karen Young (OCIS), Jennifer Freeman (Research), Alison Baulk (Finance), Stephen Thickett (Student Life), Tyler Frederick (FSSH), Connie Thurber (FHS) and Lori May (F.Ed).

In 2016-17, the RMC met five times.

The Risk Management Committee was asked to work on proposed metrics. A draft set of proposed metrics is appended hereto as Confidential Attachment 2. It is recommended that these metrics be considered by the A&F Committee at its first meeting in 2017-18 and finalized for Board approval by October 31, 2017. The Risk Management team is tracking as against most of these metrics now.

The Risk Management Committee has also worked on identifying simple and effective processes to support and train risk owners as they assume responsibility for their risk registers in 2017-18.

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 2016-17 and continues to be a top priority for the University Secretary and General Counsel.

2017 UNIVERSITY RISK MANAGEMENT REPORT

c. Measure 3: Has the Board discussed the top strategic and operational risks facing the University?

While some discussions have taken place, insufficient progress has been made here and this is recommended to be a focus in the coming year.

d. Measure 4: URM is a part of A&F work plan and Board annual discussion

URM is a part of the 2016-17 A&F Work Plan – Attached as Confidential Attachment 3. The Board has received reports and has discussed risk management. The Board has not this year engaged in a substantive discussion of key strategic and operational risks.

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 2016-17 year, education sessions focused on University Funding, Sexual Violence and Workplace Violence Compliance, and Academic Freedom and Freedom of Speech.

f. Measure 6: Board assessment of URM Activity

At the AGM each year, the Board receives an annual report and is asked to comment on the progress of URM. The purpose of this 2017 report is to secure the Board's comment and direction on URM progress in 2016-17.

2017 UNIVERSITY RISK MANAGEMENT REPORT

PART III – GOING FORWARD**4. 2017 – 2018 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 2017-18 objectives is in two areas:

1. Strategic and Foundational Risks:
 - a. The finalization of the list of strategic and foundational risks;
 - b. The development of plans to manage and/or address the strategic and foundational risks;
2. Implementing a set of processes and tools:
 - a. to support risk owners in the management and mitigation of risk, and;
 - b. to support risk owners reporting on risk work.

Office of Risk Management (Chief Risk Officer and Director of Risk Management)
Work with the Risk Owners to identify risk focus for 2017-18, to assist with risk management and mitigation plans, and to assist with reporting
Education and Training: 1) Maintain and expand Risk Management Website; 2) Facilitate risk management training sessions relating to implementation of URM
Support SLT and Board to finalize list of strategic risks
Prepare the 2017-18 Annual Risk Report to Board and A&F
Complete the list of risk management integration metrics by Oct. 2017. Prepare first annual report to A&F on these metrics – June, 2018

Senior Leadership Team
Set the Tone at the Top – Demonstrate support for the implementation of URM
Oversee the implementation of risk management within their areas and ensure commitment to reporting risk activity
Engage in discussion of Strategic Risks and Strategic Risk Management in order to finalize the Strategic Risk Plan for discussion with the Board
Report to Board on the Management of the Strategic and Operational Risk Plan

Risk Management Committee
Conduct regular meetings to discuss risk and risk management – focus on the development of metrics and integration best practices

2017 UNIVERSITY RISK MANAGEMENT REPORT

5. CONCLUSION

Please refer to the letter of the Chief Risk Officer for the summary and highlights of this Report.

2017 UNIVERSITY RISK MANAGEMENT REPORT

Appendix A – Risk Management Policy



Item	6. 16
Approving Authority	Board of Governors
Policy Owner	University Secretary
Approval Date	June 18, 2014
Review Date	June 2017
Supersedes	

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.

"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.

2017 UNIVERSITY RISK MANAGEMENT REPORT

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.

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



BOARD REPORT

Non-Public: ☐
 Public: ☒

Action Required:
 Discussion ☐
 Decision ☒

DATE: June 22, 2017

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

SUBJECT: Board & Committee Leadership & Committee Appointments for 2017-2018

A. Purpose

To recommend the appointment of the Board Chair, Vice-Chair, committee chairs and committee members for 2017-18.

B. Background/Context

Board Leadership

In accordance with Section 8(13) of the *UOIT Act*, the Board Chair and Vice-Chair(s) shall be elected on an annual basis. The Recruitment, Appointment and Leadership Policy ("Policy") provides that there will be one (1) Chair who will normally be nominated and elected from the incumbent Chair or Vice-Chairs. An incumbent Chair will have the opportunity to express interest in re-election to the Chair position, provided such person is within the normal term length for an External Governor. The Policy also provides that there will be two (2) Vice-Chairs who will normally be nominated and elected from the incumbent Vice-Chair(s) or Committee Chairs. The incumbent Vice-Chair(s) will have the opportunity to express interest in re-election to the Vice-Chair position, provided such person is within the normal term length for External Governors.

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.

C. Discussion

Board Leadership

The term of the Board Chair, Adele Imrie, ends on August 31, 2017 and she is ineligible for renewal. GNHR discussed the leadership of the Board of Governors for the upcoming year. In order to assist with the upcoming presidential transition, preference was given to considering those governors with at least 2 years left in their term to succeed A. Imrie as Chair. D. Allingham expressed interest in being nominated for the role of Board Chair for 2017-2018 and has agreed to serve as Chair for two years. Miles Goacher confirmed his willingness to be re-elected as Vice-Chair.

As no other Board members expressed interest in these roles, these positions are being treated as being unopposed.

GNHR also discussed leadership succession planning. In accordance with the Policy, Committee Chairs will, in subsequent years, be encouraged to consider putting their names forward for one of the two Vice-Chair roles. GNHR also discussed considering members who are not Committee Chairs for the role of Vice-Chair.

Committee Leadership and Assignments

While canvassing the current Committee Chairs to confirm their willingness to stand for re-election, M. Goacher indicated that due to work and other commitments, he would prefer not to be re-elected as Chair of the Audit & Finance Committee (A&F). N. Allen expressed interest in succeeding M. Goacher as Chair of A&F. The following governors also confirmed their willingness to be re-elected as Committee Chairs:

- Karyn Brearley – GNHR
- Valarie Wafer – Strategy & Planning

GNHR discussed the replacement of N. Allen as Chair of the Investment Committee. As GNHR will be interviewing governor candidates over the summer, they recommend leaving the position temporarily vacant and will reconsider it once new governors have been appointed and canvassed for their interest.

GNHR recommends that the Committee memberships of A&F, GNHR, Investment, and S&P as set out in the attached. The newly elected student Governors will be added to the Committees after canvassing their interest.

Succession Planning:

Pursuant to discussions about succession planning, GNHR will give consideration to appointing a Vice-Chair to succeed John McKinley during the year as opposed to waiting until the end of the year.

D. Recommendations

GNHR recommends Board approval of the following motion:

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

- 1. Appoints Doug Allingham as Chair of the Board for 2017-2018, with the expectation of re-election the following year;*
- 2. Reappoints Miles Goacher as Vice-Chair of the Board for 2017-2018;*
- 3. Appoints the following Board members to the positions of Chair of the specified Committee for 2017-2018:*

Nigel Allen	Audit & Finance
Karyn Brearley	Governance, Nominations & Human Resources
Valarie Wafer	Strategy & Planning

- 4. Approves the proposed 2017-18 Committee Assignments, as attached.*

RECOMMENDED COMMITTEE ASSIGNMENTS 2017-2018

Strategy and Planning Committee (S&P):

Terms of Reference Requirements	Member Name	Status
between 3 & 7 external governors:	1. Valarie Wafer (Chair)	member
	2. Don Duval	member
	3. Jay Lefton	member
	4. Bonnie Schmidt	member
	5. John Speers	member
	6. Mike Snow	member
up to 3 elected governors (faculty, non-teaching staff, and students):		
faculty	1. Shirley Van Nuland	member
staff	2. Mary Steele	member

Investment Committee:

Terms of Reference Requirements	Member Name	Status
between 3 & 7 external governors, including:		
1 member who is also a member of Audit & Finance	1. Nigel Allen	member
1 member who is also a member of S&P	2. John Speers	member
	3. Miles Goacher	member
up to 3 elected governors (faculty, non-teaching staff, and students):		
Vice-President, Finance (non-voting)	Craig Elliott	staff
Vice-President, External Relations (non-voting)	Susan McGovern	staff

Governance, Nominations and Human Resources Committee:

Terms of Reference Requirements	Member Name	Status
between 3 & 7 external governors:	1. Karyn Brearley	member
	2. Andrew Elrick	member
	3. Francis Garwe	member
	4. Jay Lefton	member

Audit & Finance Committee:

Terms of Reference Requirements	Member Name	Status
between 3 & 7 external governors:	1. Nigel Allen	member
	2. Miles Goacher	member
	3. Dietmar Reiner	member
	4. Mary Simpson	member
up to 3 elected governors (faculty, non-teaching staff, and students):		
faculty	1. Jeremy Bradbury	member

Executive Committee*:

Terms of Reference Requirements	Member Name	Status
Board Chair (ex-officio)		
President (ex-officio)	Tim McTiernan	member
Board Vice-Chair(s)		
Standing Committee Chairs of the Board		

*The appointment of the Board Chair, Vice-Chair(s), and Chairs to the Committees will determine the composition of the Executive Committee.



REPORT to the BOARD of GOVERNORS

Action Required:

Public: ☒
 Non-Public: ☐

Discussion ☒
 Decision ☒

TO: The Board of Governors

DATE: June 14, 2017

FROM: Robert Bailey, Provost and VP Academic

SUBJECT: Policy to Prevent and Respond to Sexual Violence for Students

A. Purpose

We are advising the Board of Governors on the consultation processes initiated for the Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence (aka Student Sexual Violence Policy) in correspondence with the first annual report on the policy being brought forward, June 22, 2017.

We are also seeking the Board's approval of the proposed amendments to the policy.

B. Background/Context

The passing of the *Sexual Violence and Harassment Action Plan Act (Supporting Survivors and Challenging Sexual Violence and Harassment)*, 2015 (the "SVHAP Act"), required universities to update their policies and processes for preventing and responding to sexual violence and harassment on their campuses. The University approved its Student Sexual Violence Policy Dec 7, 2016.

Following approval and implementation a comment period was promised for three months. Collected feedback was to be incorporated into a report presented to the board May 3, 2017 detailing proposed amendments and upgrades to the policy. A small number of substantive changes were needed that corresponded with compliance regulations and with how we train our community. Therefore, the policy was subjected to the university's approval process resulting in the final version being submitted for the June 22, 2017 annual meeting for the Board of Governors.

C. Discussion and Rationale

Editorial changes have been highlighted in the attached policy draft for review.

Substantive changes made to the policy are twofold:

- [Ontario Regulation 131/16](#) requires tracking data related to sexual violence and reporting on collected data annually to the Ontario Government. The proposed reporting structure is to make use of the oversight committee indicated in section 5 of the Policy to deliver the report to the Provost's Office. Per [Bill 132](#) and standard reporting practices a summary report will be delivered to Board of Governors.
- When any member of the community receives a disclosure they are advised to indicate such to disclosure@uoit.ca. Following up in this way allows the university to advise individual confidentially and to track incidents of Sexual Violence in its community.

D. Request

We are seeking the approval of the Board of Governors of the proposed amendments to the Policy on Sexual Violence for Students and Procedures for Responding to Incidents of Sexual Violence policy, as presented.

[Ontario Regulation 131/16](#) Sec 5(1) lays out the requirement for training on the Policy at all levels of the university. To meet this requirement, we propose a training session for the Board of Governors and all upper administrators before the end of October, 2017.



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

In an emergency, call for help

In North Campus buildings:

Help EMS easily locate you,
call x2400 or 905-721-3211

Downtown Campus:

Call 9-1-1

Anywhere off campus:

Call 9-1-1

- ~~UOIT can help you if~~ you have experienced ~~an incident involving~~ Sexual Violence, ~~UOIT can help you~~. The best way to receive help is to contact a [Support Worker](#) in the Sexual Violence Care Unit (905.721.7723 or email supportworker@uoit.ca) who can provide you with support and aid in a confidential environment ~~(per the Freedom of Information and Protection of Privacy Act)~~.
- This policy details UOIT's intent to prevent and address incidents of Sexual Violence and sets out the procedures that will be followed for reporting, investigating and addressing incidents of Sexual Violence for Students. ~~Helpful guidance is found~~ [is available online 24/7](#).
- ~~This document uses key terms that are~~ hyperlinked ~~to their~~ definitions found in [Appendix A](#);
- ~~Tao Rrequestequest an alternative document formats from AODA of this document can, make an AODA request here~~ [be requested](#).

TABLE OF CONTENTS

WHAT ARE UOIT'S COMMITMENTS? – Guiding Principles	2
HOW DOES UOIT HELP? – Purpose of this Policy	3
WHO DOES THIS COVER? WHEN? and WHERE? – The Scope of this Policy	43
HOW DOES THIS POLICY WORK? WHAT CAN I EXPECT? – Procedures	54
HOW DO I TELL SOMEONE ABOUT WHAT HAS HAPPENED? – Disclosure and Reporting	5
<i>WHAT IS A DISCLOSURE? – Talking to a trusted person</i>	<i>65</i>
<i>WHO SHOULD I TALK TO? – Reporting to a Support Worker</i>	<i>6</i>
HOW WILL ALLEGATIONS OF SEXUAL VIOLENCE BE ADDRESSED? – Support Services	7
<i>WHAT OTHER RESOLUTIONS ARE AVAILABLE? – Informal Resolution Processes</i>	<i>8</i>
<i>IF I FILE A FORMAL REPORT, WHAT WILL HAPPEN? – The Formal Report Process</i>	<i>98</i>
<i>HOW DO INVESTIGATIONS WORK? – Investigations & Corrective Actions</i>	<i>9</i>
<i>HOW IS A DECISION REACHED? – Associate Provost's Decision</i>	<i>1110</i>

Parent Policy: Anti Violence Policy; [Classification LCG 1138](#);

Framework Category: Legal, Compliance and Governance;

Approving Authority: Board of Governors; Policy Owner: Provost and VP Academic;

Approval Date: Dec 7, 2016; Review Date: May 2017

HOW CAN A DECISION BE CHALLENGED? – Appeal	11
HOW OFTEN WILL THIS POLICY BE REVIEWED? – Monitoring and Review	11
WHAT OTHER POLICIES WORK WITH THIS POLICY? Related Policies	12 14

WHAT ARE UOIT'S COMMITMENTS? – Guiding Principles

1. ~~The University of Ontario Institute of Technology (UOIT)~~ is committed to maintaining healthy and safe learning, living, social, recreational and working environments. Acts that perpetuate [Sexual Violence](#), including [Sexual Harassment](#), are against [UOIT's values](#) and will not be tolerated. Thus, UOIT will:
 - Condemn all acts that perpetuate or reinforce Sexual Violence and hold individuals who perpetrate such acts accountable;
 - Help those who have experienced Sexual Violence by providing resources and aid, regardless of whether or not an [Informal Report](#) or [Formal Report](#) is filed;
 - Help our community to oppose Sexual Violence through preventative educational programming;
 - Continually improve how the university addresses Sexual Violence by examining the efficacy of programming choices, how aid is administered, and how [Students](#) use our services.
2. There are many myths and misconceptions about Sexual Violence (e.g., rape myths) that downplay the seriousness of Sexual Violence and confuse an individual's understanding of [consent](#). These ways of thinking contribute to a social context in which individuals who experience Sexual Violence may blame themselves for what happened, worry that they will not be believed, and ~~make may reduce reporting reports of Sexual Violence less likely to happen~~. These misconceptions contribute to victim-blaming responses that excuse perpetrators for their actions. UOIT strongly opposes this kind of thinking. ~~This policy was and has developed this policy in to support of those who have experienced Sexual Violence and to ensure they are treated will treat individuals~~ with dignity and respect during [disclosure](#), investigation and institutional response.
3. The University, recognizes that each individual is free to label their experiences using whatever terminology they choose. The label “survivor” may work for some individuals, and may not for others. To that end, this policy refers to individuals based on their interaction with the policy. When dealing with individuals, the ~~U~~university will respect each individual's preferred term.
4. UOIT ~~prides itself on its diverse student population. The variance in student identities, including LGBTQ+, and different backgrounds and cultures will be considered when accommodating the needs emerging from this diversity and when dealing with individual cases. is aware of and acknowledges the diverse backgrounds and cultures of Students and will consider and take reasonable measures to accommodate needs emerging from this diversity when dealing with individual cases.~~
5. An Advisory Committee, comprised of [a diverse selection of](#) Students, [Faculty](#) and [Staff](#), will be established to [consult with community partners to oversee and review and recommend](#)

revisions to this policy as well as the programming and training choices in consultation with community partners that help UOIT stand against Sexual Violence by:

- Advising on training programs for development and delivery to Staff, Faculty, and Students, senior administrators and the UOIT Board of Governors. This training which will include UOIT's process for responding to, and addressing incidents and complaints;
- Consulting on up-to-date information on identifying updates to supports, and services, including and online content;
- Reviewing information, not including personal information about instances of Sexual Violence committed against, or perpetrated by, members of UOIT and the help-seeking behaviours related to such incidents;
- Evaluating the efficacy of programming, activities, and help processes related to tracked behaviours and advising on changes, where necessary;
- Overseeing the implementation of a survey of UOIT Members, as required, relating to the effectiveness of Sexual Violence aspects of this policy;
- Drafting an annual report informed by available highlighting data related to measures listed above in this section and make recommendations to the Provost or delegate; and
- Preparing a written annual review to the Office of the Provost detailing recommended changes to this policy and related procedures.

HOW DOES UOIT HELP? – Purpose of this Policy

6. For any UOIT Student who has experienced Sexual Violence and for any Student who has perpetrated Sexual Violence, this policy and related procedures detail how UOIT will:
 - Empower Students to make separate choices on 1) whether to disclose within a safe space at the university in order to receive support, and 2) whether to officially report that experience to the University in order to pursue a path to justice;
 - Accommodate the needs of Students affected by Sexual Violence,
 - Offer fair paths to justice as alternatives to, and not replacements for, external judicial proceedings;
 - Implement interim measures to protect Students affected by Sexual Violence, where appropriate.
 - Investigate incidents of Sexual Violence, where requested or where required as listed in section 27 below; and
 - Detail how incidents of Sexual Violence will be addressed.
7. UOIT stands against Sexual Violence through a preventative approach. This approach involves educational programming and training to empower our community and to minimize behaviours that contribute to the perpetuation of Sexual Violence. Key topics to be addressed include, but are not limited to:
 - Abuses of power dynamics and victim blaming;
 - Alcohol and substance consumption;
 - Cultural competency and sources of discrimination;
 - Consent culture;
 - How sexism, ableism, ageism, and racism intersect with Sexual Violence;
 - Rape culture;

- Understanding aggression and standing up to aggression; and
- Understanding online harassment through social media.

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

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

8. **WHO?** - This policy applies to *all* incidents of alleged [Sexual Violence](#) involving [Students](#).
9. **WHAT BEHAVIOUR? & WHERE?** This policy applies:
 - To Students experiencing Sexual Violence or who have previously experienced Sexual Violence anywhere within the university community;
 - To Students accused of perpetrating an act of Sexual Violence against a member of the [UOIT](#) community, both on and off campus (e.g., parking garages, residences, gatherings of UOIT Students) including:
 - a) Through any conduct in the course of work, co-op, practicum, research, or study arising out of or related to UOIT's interests, and;
 - b) Through any media (e.g., in-person, written, recorded, online).
10. **WHAT IF A NON-UOIT MEMBER IS INVOLVED?** Reports of Sexual Violence involving a UOIT Student can be filed by any individual, even if they are not affiliated with UOIT. For example, students at other institutions can file a Report to UOIT about a [UOIT Member](#) by contacting [General Counsel](#). Incidents involving a Student, [Faculty](#) or [Staff](#) member from Durham College or Trent in Oshawa, resulting from the shared campus environment, will be investigated in collaboration with those institutions.
11. **WHAT LEGISLATION APPLIES?** The [Ministry of Training, Colleges and Universities Act](#) requires universities to have sexual violence policies to prevent and respond to incidents involving students. The [Criminal Code of Canada](#) prohibits [Sexual Assault](#), [Voyeurism](#) and [Criminal Harassment](#) (including [Stalking](#) and [Cyberbullying](#)). The [Ontario Human Rights Code](#) prohibits harassment on the basis of sex, sexual orientation, gender identity and gender expression in educational and employment matters and environments.
12. **WHAT IF A UOIT EMPLOYEE IS INVOLVED?** Collective Agreements and/or employee policies prohibit Sexual Violence for UOIT employees. In incidents where a UOIT employee is involved, this policy will work in conjunction with the requirements of those agreements and policies. In these circumstances, Human Resources may be consulted to ensure the requirements set out under the *Policy to Prevent and Respond to Violence, Harassment and Discrimination in the Workplace*, and related procedures, are also applied and upheld.
13. **WHO ENFORCES THIS POLICY?** The Vice President Academic and Provost, or successor thereof, is the policy owner, which means they are responsible for overseeing the implementation, administration, interpretation, and application of the policy.

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

14. The procedures set out in this document are intended to address incidents and allegations of [Sexual Violence](#) involving [Students](#).
15. Students who may have experienced Sexual Violence have the right to:
 - Choose whether to initiate, continue or discontinue telling their story, including the right to tell whomever they trust, the right to participate or not participate in any aspect of processes that result from filing a [Formal Report](#) or [Informal Report](#);
 - [Choose not to request an investigation, and have the right not to participate in any investigation that may occur](#);
 - Be protected from irrelevant questions such as those related to past sexual history or sexual expression;
 - Choose whether to access support and accommodations, regardless of whether there is an [official-Formal Report](#) or [Informal Report](#); and
 - Choose whether to pursue recourse through external processes, such as an application to the Human Rights Tribunal of Ontario, and processes of criminal or civil justice.
16. Individuals have the right to be accompanied by legal counsel, union representative or other person at any point during this procedure and related processes.
17. In order to ensure procedural fairness, the following principles will apply:
 - Participation in an Informal Resolution Process (described below) will not prejudice those involved in a subsequent Report or investigation;
 - [Disclosers](#) will be provided with an opportunity to submit all of their allegations along with relevant information;
 - [Respondents](#) will be provided with the information that is required to fully understand the allegations and provide a complete response;
 - Where an investigation and/or a hearing is conducted, witnesses will be given a reasonable opportunity to understand the allegations and provide relevant information; and
 - Individuals have the right to be accompanied by legal counsel, union representative, or other person at any point during this procedure and related processes.
18. Any Reprisal, or expressed or implied threat of Reprisal, for reporting an incident or making a complaint about Sexual Violence under this procedure may itself be the subject of a Report and may be subject to [interim measures](#) (such as a conduct contract, restrictions from certain buildings on campus, or other appropriate measure).

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

19. This policy distinguishes between telling someone about what has happened ([Disclosure](#)) and telling a designated [Support Worker](#) who can provide help from a confidential space ([Reporting](#)).
20. Disclosing and Reporting [Sexual Violence](#) are personal acts. [Students](#) who share their experience have the right to be treated respectfully, and for the information provided to be kept in

confidence, shared only on a need-to-know basis, where legally required. All information will be handled in accordance with the [Freedom of Information and Protection of Privacy Act](#).

WHAT IS A DISCLOSURE? – Talking to a trusted person

21. [UOIT](#) recognizes that individuals who have experienced Sexual Violence may initially disclose to a friend, peer leader, or trusted [Faculty](#) or [Staff](#). ~~The Any~~ individual receiving a Disclosure should act in a caring and supportive way and should maintain confidentiality, except where the [Disclosing](#) individual consents to further information sharing in order to access help. Any ~~person~~ [individual](#) who receives a Disclosure should inform the discloser about this policy and, where needed, help them to access a Support Worker. [After receiving a Disclosure, the individual should email disclosure@uoit.ca sharing only the time of the disclosure and confirming that the student who disclosed has been directed toward the website and Support Worker.](#) Help for those who have received a Disclosure ~~and guidance on how to receive a Disclosure are~~ [is](#) posted [online](#).
22. ~~In any event, t~~Those who receive a Disclosure must promptly share that information to the Office of Campus Safety in the following circumstances [\(and must inform the discloser of this action\)](#):
 - The information received suggests there is a perceived threat or risk of harm, including self-harm, to a Student or other individual;
 - The information received suggests that the actions constitute harassment and/or result in an individual feeling as though their personal safety is at risk, whether in person or online; or
 - The information received suggests an incident occurred involving Workplace Violence or Workplace Harassment under the *Occupational Health and Safety Act*;
23. Those who receive a Disclosure are encouraged to consult with the Director, Campus Safety for advice about whether, and to what extent, that information must be shared. The Office of Campus Safety will use and share the information provided to the extent that is required by law.

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

24. In an emergency call for help. When on North campus, call Security at 905.721.3211 (x2400) to help EMS more easily locate you. ~~W~~When downtown or off campus call 911. Individuals may also visit the [Office of Campus Safety](#) in person (1202 Simcoe Building) or the Security Offices in Downtown locations.
25. For [Students](#) who need help, [Support Workers](#) in ~~Student Mental Health Services~~ are authorized to receive, on behalf of [UOIT](#), reports about incidents of [Sexual Violence](#) involving [Students](#). To make an appointment with a Support Worker, call 905.721.7723 or email [supportworker@uoit.ca](#). Appointments may be held by phone or in person at a different campus location at the request of the Student. Support Workers can offer support and accommodation independent of any action related to [Reporting](#). Students may also access [community supports and services](#) listed online.
26. There are two ways to report Sexual Violence to UOIT, an “[Informal Report](#)” and a “[Formal Report](#)” – each type of report allows the individual to tell their story, on their own terms. The

decision to disclose the details that may indicate Sexual Violence through an Informal Report and the decision to file a Formal Report are separate decisions:

- An "[Informal Report](#)" occurs when a Student discloses to a Support Worker about an incident in which Sexual Violence may have occurred. The Informal Report can be provided by any individual who has information about the incident, and does not automatically initiate a Formal Report. An Informal Report may relate to a [Respondent](#) who is, or is not, a Student.
- A "[Formal Report](#)" is a formal written request by a [UOIT Member](#) for UOIT to investigate and address a detailed incident of Sexual Violence.

27. Informal Reports and Formal Reports to a Support Worker are made in a protected space and will be kept confidential, except under the following circumstances, and as required by law:
- The discloser seeks accommodations and consents to sharing information with other university officials on a need-to-know basis in order to make the appropriate arrangements (e.g., accommodations, safety planning);
 - The discloser chooses to proceed with a Formal Report, in which case a confidential investigation will be conducted and information will be shared only to the extent necessary to achieve procedural fairness, and as otherwise required by law;
 - Information is received suggesting there is a clear risk of harm, including self-harm, to a Student or other individual;
 - Information suggests an incident occurred involving Workplace Violence or Workplace Harassment under the Occupational Health & Safety Act, in which case a confidential investigation will be conducted and information will be disclosed only to the extent necessary to achieve procedural fairness;
 - Informing law enforcement is required by law (e.g., in the case of a minor); or
 - Information required for a police investigation, or for litigation purposes.
28. Access to support and accommodation ~~is available through~~ [by making an appointment with a Support Worker](#) ~~is available by phone, or email, or and 24/7 help is available through Campus Security on a 24/7 basis.~~ Our [online support guide](#) details [additional](#) supports and services available in the community that can be contacted for help.

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

29. [Support Workers](#) support disclosers and [Complainants](#) by providing assistance and accommodation through the resolution process of their choosing. Assistance provided by a Support Worker may include:
- A detailed explanation of available processes under this policy;
 - Communicating with the discloser's consent with counsellors or other university officials at [UOIT](#) involved in providing support and academic accommodations, [interim measures](#), interpreting university policies and guidelines, and providing information to the Office of Campus Safety;
 - Accompanying the discloser or Complainant to an appointment that they may need support to attend;
 - Referral to contacts for support, services and resources through external community partners. Available community partner services are [listed online](#); or

- Follow up after a resolution is achieved to ensure it has been enacted and to ensure ongoing access to services where needed.

- 30.** Disclosers or Complainants who require accommodations in their courses or other areas can work with their Support Worker to find solutions that will help minimize disruption. Accommodations may include: separation of the parties, exam or assignment deferral, class and/or schedule changes, emergency bursaries, and/or residence modification. The Support Worker will make the accommodation arrangements on the discloser's behalf and with their consent taking care to share only enough information with other university officials as is necessary to make the accommodation.
- 31.** If the details of the report reveal a significant risk to others, the Support Worker may contact the Office of Campus Safety and/or other law enforcement agencies. If the details of the Report involve a [Respondent](#) who is not otherwise covered by the scope of this Policy, the Office of Campus Safety will enact appropriate security measures to protect the [Student](#).

WHAT OTHER RESOLUTIONS ARE AVAILABLE? – Informal Resolution Processes

- 32.** A discloser and/or [Complainant](#) may choose to pursue an Informal Resolution Process at any point following a Report. -The [Support Worker](#) will work with the discloser or Complainant to select options that will help them to meaningfully address the incident of [Sexual Violence](#) and where participation does not place the [Student](#) at risk. Examples of informal processes include: seeking apology; delivering an impact statement; meeting with a university official identified by the Support Worker to discuss the ways in which future occurrences of the disclosed incident can be prevented; facilitated discussion; and processes based on restorative justice principles.
- 33.** The Support Worker will work with the [Case Manager](#) to undertake the informal resolution option selected by the discloser and/or Complainant. Participation in an Informal Resolution Process is voluntary and requires consent of all parties. The Case Manager will normally be the Director, Office of Campus Safety.
- 34.** Where the Informal Resolution Process involves the [Respondent](#), the Support Worker will take steps to ensure that the circumstances of any meeting will appropriately protect the dignity of the Complainant through accommodations that continue to allow their participation. Accommodations that may be considered include: providing separate rooms before the meeting; alternate means of participation such as telephone, video, pre-recorded answers and statements; prepared written responses; the opportunity to have support and representation at the hearing; and other appropriate accommodations.
- 35.** All Informal Resolution Processes between the discloser, Complainant and/or the Respondent are held in confidence and on a "without prejudice" basis. This means that the discussions that take place during the Informal Resolution Process may not be later disclosed or used in a subsequent Report or investigation. Parties involved in Informal Resolution Processes will be asked to sign a confidentiality agreement before the process proceeds.
- 36.** If a written agreement is reached by all parties through Informal Resolution Processes, and the Case Manager approves the written agreement, the Report will be deemed resolved and this procedure will cease.

37. If the selected Informal Resolution Process is unsuccessful, new options will be made available, which may include another Informal Resolution Process or the filing of a [Formal Report](#).

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

38. If an individual chooses to file and then pursue a [Formal Report](#), the [Support Worker](#) will refer the matter to a [Case Manager](#) who will oversee the process to ensure all parties are treated fairly and that the file proceeds as expeditiously as possible. The Case Manager will also provide updates to the discloser or [Complainant](#) on the progress of the file. This does not remove the Support Worker from the process; they continue to provide support throughout the process.
39. The Support Worker will provide the discloser with a [Report Form](#), or a link to an electronic Report Form, and assist them when needed to complete the form. The discloser may submit all of the allegations along with relevant information as part of their Report. The Report will be forwarded to a Case Manager by the Support Worker.
40. The Formal Reporting process begins with the Case Manager considering whether [interim measures](#) are necessary to protect the safety of the Complainant or any other [Student](#). Reasonable interim measures will be imposed on the basis of the assumption that allegations of [Sexual Violence](#) are true, having regard to the safety of all Students, the severity of the allegations, and the Complainant's desire to restrict access to disclosed information.
41. If, during any stage following the receipt of a Report, there is evident behaviour or actions of retaliation, or expressed or implied threat of reprisal against a discloser or [Complainant](#), the [Case Manager](#) may impose temporary measures (such as a conduct contract, restrictions from certain buildings on campus, or other appropriate measure) and the reprisal may itself be the subject of a Report.
42. The Case Manager will review the [Formal Report](#) to determine whether the described incident would be covered under this policy assuming the allegations are true. During this review, the Case Manager may meet with any individual deemed necessary to assess whether the report warrants investigation.
43. If the allegations set out in the Report do not amount to Sexual Violence or the [Respondent](#) is not a [UOIT Member](#), the Case Manager will advise the parties, in writing, of the determination to not proceed with an investigation. In all other cases, the Report will be investigated. The Case Manager will advise the parties in writing that the Report will be investigated, that an investigator will be appointed, and that the parties will be contacted by the investigator in due course.

HOW DO INVESTIGATIONS WORK? – Investigations & Corrective Actions

44. The purpose of an investigation is to: gather evidence and witness statements; weigh the evidence; make findings of fact based on the evidence; and produce an investigative report. In an investigation under this procedure, the investigator must conclude, weighing the evidence on a balance of probabilities, either: (1) that [Sexual Violence](#) did occur; or (2) that Sexual Violence did not occur.

45. All information obtained during an investigation will be kept confidential to the greatest extent possible. Only those individuals who must have access to the information, for the purposes of upholding UOIT's legal obligations, will have access to any sensitive information and all relevant documents, including electronic documents, will be kept in a secure location.

45.46. The [Case Manager](#) will appoint an investigator with the required training and experience to conduct a fair and objective investigation. The investigator must not be directly involved in the incidents at issue, and should not have a reporting relationship with the individuals involved in the incidents being investigated. Where accommodations are required, the discloser has the right to request and that an external investigator be appointed. To this end, the investigation may be conducted by an [UOIT](#) investigator or by an external investigator.

46.47. The Case Manager will provide the investigator with all relevant documents and information, except that which is privileged (e.g., records of discussions that took place during Informal Resolution Processes).

47.48. The Case Manager will send written notice to the [Respondent](#) that an investigation of a Report of Sexual Violence is being initiated. This notice will, at minimum, be delivered in writing to a UOIT.net or UOIT.ca email account, as applicable.

48.49. The notice to the Respondent will contain all information that is required to fully understand the allegations and provide a complete response, including:

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

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

49.50. The Respondent will be given a reasonable opportunity to respond to the allegations and may choose to respond in person or in writing. If no response is provided within a reasonable timeframe, set by the investigator, or the Respondent chooses not to participate, the investigator may proceed without input from the Respondent.

50.51. At any point during the investigation, the investigator may set meetings with any party to obtain further information. At a minimum, the investigator will make reasonable attempts to meet with the [Complainant](#) and the Respondent. The investigator may also choose to seek information from other witnesses taking care to ensure that they are given a reasonable opportunity to understand the allegations and provide relevant information. Individuals have the right to be accompanied by legal counsel, union representative, or other person at any point during this procedure or related processes.

51.52. Based on all available evidence, the investigator will determine whether there has been a violation of the policy, weighing the evidence on a balance of probabilities. The investigator's determination will be reported to the Case Manager in an investigative report, containing a

summary of the information gathered during the investigation and the investigator's conclusions.

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

- 52-53.** The [Case Manager](#) will forward the investigative report, along with their confirmation that fair processes were followed and reference to corrective measures consistent with comparable offenses to the Associate Provost or delegate who has appropriate training and experience to make decisions involving [Sexual Violence](#).
- 53-54.** The Associate Provost or delegate will consider the investigative report and determine the appropriate corrective actions including: a written warning, conduct contract, community service, alternative forms of restitution, suspension or eviction from one or more facilities at the university, or expulsion. The Associate Provost or delegate's determination will be forwarded to the Case Manager.
- 54-55.** The Case Manager will provide the [Respondent](#) with a written summary of the investigation, attaching a copy of the determination.
- 55-56.** The Respondent will have ten working days to provide a response, which may include a request for a meeting to hear the response. If the [Student](#) fails, without reasonable excuse, to provide a response, the Associate Provost or delegate may proceed to decide on the case in the Student's absence. This decision will be conveyed to the Respondent in writing.
- 56-57.** The Case Manager will share the decision, in writing, with the [Complainant](#) and the Respondent as appropriate to maintain obligations under privacy laws, uphold procedural fairness, and ensure the health and safety of involved parties are protected.

HOW CAN A DECISION BE CHALLENGED? – Appeal

- 57-58.** The decisions of the Provost under this Policy may be appealed to the Non-Academic Appeals Committee, in accordance with [Student Conduct Policy](#) and related procedures. In such cases, the case will be heard by a panel comprised of individuals with appropriate skills, training and experience to work with [Sexual Violence](#) cases.
- 58-59.** If an appeal occurs, the dignity of the discloser will be protected through accommodations that allow their participation. Accommodation examples include: providing separate rooms before the meeting; alternate means of participation such as telephone, video, pre-recorded answers and statements; prepared written responses; the opportunity to bring a [Support Worker](#) to the hearing; and other accommodations suggested by the Support Worker and the discloser.

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

- 59-60.** This policy and procedures will be reviewed every three years at minimum as required by the MCTU Act. [The Advisory Committee will provide input on any proposed revisions to this policy before those revisions are implemented, and in doing so, will seek input from the broader UOIT community.](#)

WHAT OTHER POLICIES WORK WITH THIS POLICY? Related Policies

~~60~~61. Several Policies interact with this policy, and include:

- Academic Staff Employment Policies
- Access to Information and the Protection of Privacy Policy
- Emergency Management Plan and Procedures
- Fair Processes Policy
- Health and Safety Policy
- Non-Academic Staff Policies
- Policy to Prevent and Address Violence, Harassment and Discrimination in the Workplace
- Records Management Policy
- UOIT Joint Health and Safety Committee Terms of Reference
- UOIT Occupational Health and Safety Management System
- UOIT Student Conduct Policy
- UOIT–Durham College Threat Assessment Procedures
- Work Refusal Procedures
- Workplace Violence Incident Report

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

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

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

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

Parent Policy: Anti Violence Policy; [Classification LCG 1138](#);

Framework Category: Legal, Compliance and Governance;

Approving Authority: Board of Governors; Policy Owner: Provost and VP Academic;

Approval Date: Dec 7, 2016; Review Date: May 2017

Page 17 of 17

Alumni Association

Presentation to Board of Governors

Presented by: Michael Riseley, Finance Chair, Alumni Association Council



June 2017

Alumni Association

Our Vision

Connect. Engage. Succeed. Celebrate.

Our Mission

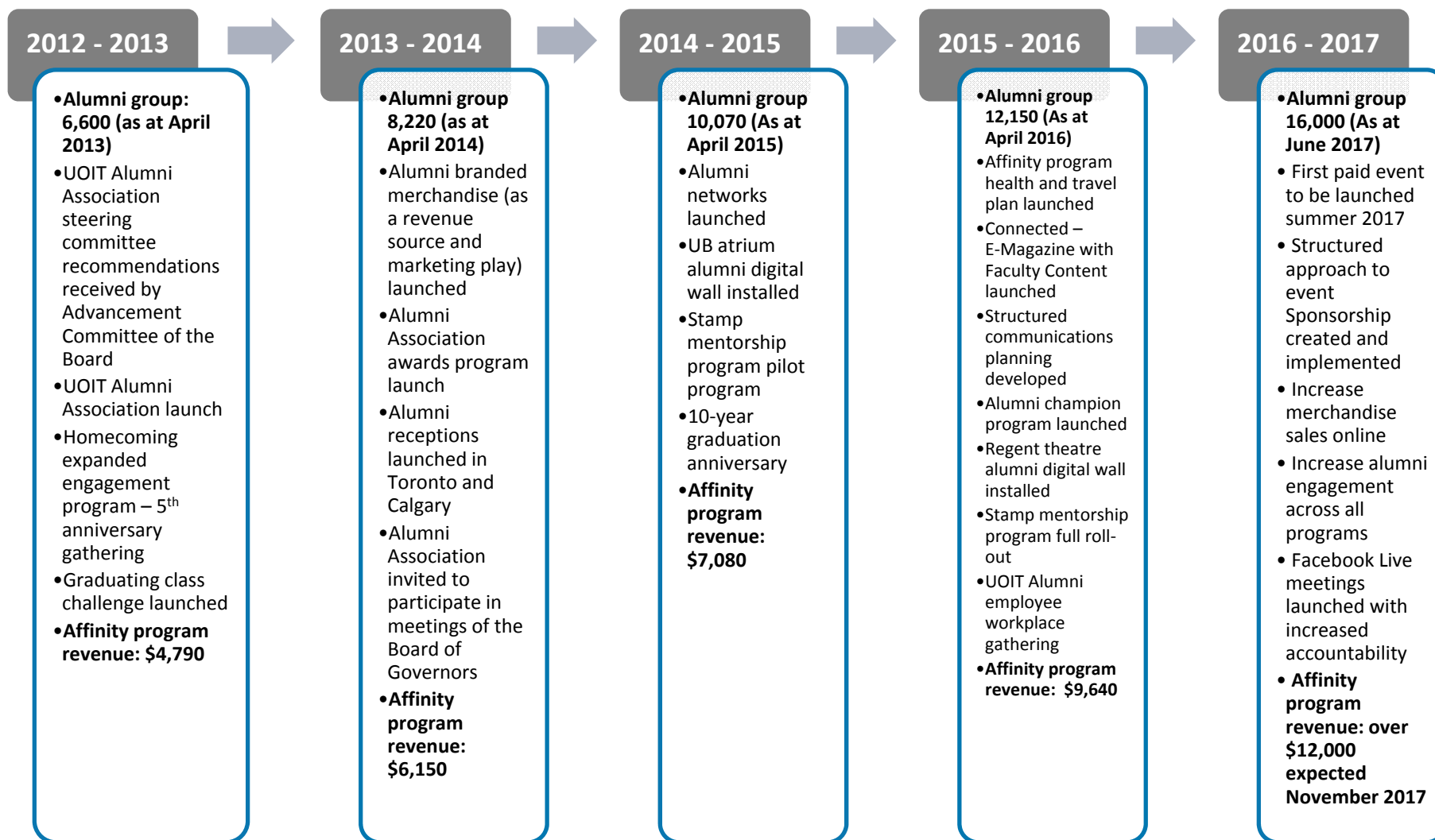
Inspire the university's global alumni community to feel connected and supported through programs and services designed to promote the spirit of lifelong success and alma mater pride.

Alumni Association Council

- Ten elected alumni volunteers.
- Two-year mandate
- Three committees:
 - Governance
 - Engagement
 - Finance



2012-2016 Alumni Milestones



Strategic Priorities

Identify dedicated space on campus (and online).

Develop a culture of leadership and networking to mentor students and alumni.

Develop a distinctive identity and brand.

Create a strong, active and vibrant community through alumni and student engagement.

Increase alumni presence and engagement.

Operate in a self-sustaining model.

Promote transparency and accountability.

Snapshot of Spring and Summer 2017



Identify dedicated space on campus (and online)

Progress	Coming Soon
<p>Council discussions have begun regarding future space on campus and/or fundraising for Alumni Hall.</p>	<p>Introduce topic in a future issue of “Connected” magazine. Survey Alumni to gauge interest in their financial support for an Alumni Hall.</p>

Develop a culture of leadership and networking to mentor students and alumni

Progress	Coming Soon
Provided financial support for alumni network initiatives such as the FBIT Alumni Reception (Nov 2016) and Varsity Alumni Reception (Mar 2017).	Looking to increase support for current networks and encourage the creation of more networks across the alumni community.
Continue to support the Student-Alumni Mentorship Program (StAMP).	Identify key alumni to reach-out to and actively recruit as mentors.

Develop a distinctive identity and brand

Progress	Coming Soon
Identified local alumni who can be interviewed as “experts in their field” for hot topic articles, such as recent housing market article.	Further engagement of expert alumni in upcoming issues to enhance content and provide opportunities to showcase alumni expertise.
Inviting local alumni experts to participate in the Alumni Spotlight (Profiles) program.	Create an ongoing list of influential alumni to reach out to and actively engage in the Alumni Spotlight (Profiles) program.
Created an annual Engagement Calendar to help coordinate council activities to increase council effectiveness.	Identify key areas in the calendar where council can increase brand engagement with alumni.

Create a strong, active and vibrant community through alumni and student engagement

Progress	Coming Soon
Accepted 16 nominations for Alumni Association Awards.	Award winners and nominees to be engaged in Alumni Spotlight program and highlighted at the upcoming fall event.
Alumni participation at the Student-Alumni Connect Happy Hour has increased along with student attendance.	Developing ways to improve relationship building at this key event during the Graduating Class Challenge.
Graduating Students invited to participate in Alumni Association programs by direct email invitation.	Active encouragement of new alumni to connect with an existing network or create their own.

Increase alumni presence and engagement

Progress	Coming Soon
Added more receptions to the spring/summer line-up in a variety of locations in the GTA (Whitby, Toronto, Markham).	Large fall event to showcase the Alumni Association Award recipients, engage alumni with student research and provide a venue for the Annual General Meeting.
Coordinating first ever paid event (Blue Jays Game) including UOIT alumni mention on big screen during game.	Identifying further options for paid events in the following year.
Coordinating opportunities for alumni to organize and fundraise for local and global community initiatives (such as the CN Tower Climb) as university ambassadors.	Future opportunities being planned for the fall including the Toronto Zoo walk and volunteering opportunity at the St. Vincent Soup Kitchen.
Increased engagement with new alumni before and after Convocation ceremonies by using social media and #UOITGrad17.	Increase Alumni Association Council member engagement with new alumni in the weeks leading up to the Convocation Ceremonies.

Operate in a self-sustaining model

Progress	Coming Soon
Revenue continues to increase from Affinity Partnership with Johnson insurance.	Continuing to leverage alumni communications in order to promote the Johnson insurance products.
Expecting increased revenue from merchandise sales from Convocation and other events. Added new merchandise items for event and online sales.	Increasing online sales through promotional methods such as “bundling”.
Developed a Sponsorship Proposal for Alumni Association Events.	Looking for community or corporate partners to support some or all of the operating costs for the future Alumni Association events.
Maintaining the Alumni Association Returning Alumni Award through council donations.	Increasing alumni engagement and fundraising to help meet \$500 annual goal.

Promote transparency and accountability

Progress	Coming Soon
Currently keeping all minutes, agendas and relevant meeting documents online for alumni to access (from current 16-17 year)	Past meeting minutes, agendas and supporting documents posted in order to provide historical background of council development.
Broadcasted February meeting via Facebook Live with positive feedback from alumni community.	Plan to broadcast August meeting also through Facebook Live.
Created a standing agenda item to review and track council progress against Strategic Plan.	Fiscal year-end review of progress versus Strategic Plan with reasoning for successes/failures.

Thank You!

Questions and Discussion

BOARD OF GOVERNORS
DRAFT MEETING SCHEDULE 2017 - 2018

COMMITTEE	DATE	TIME	ROOM
Audit & Finance Committee	October 12, 2017	12:30 p.m. - 3:30 p.m.	ERC 3023
Audit & Finance Committee	November 22, 2017	12:30 p.m. - 3:30 p.m.	ERC 3023
Audit & Finance Committee	February 21, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
Audit & Finance Committee	April 26, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
Audit & Finance Committee	June 18, 2018	1:00 p.m. - 5:00 p.m.	ERC 3023
Board of Governors Retreat	May 10-11, 2018 OR May 17-18, 2018		TBD TBD
Board of Governors	October 26, 2017	12:00 p.m. - 5:00 p.m.	DTB 524
Board of Governors	December 7, 2017	12:00 p.m. - 5:00 p.m.	DTB 524
Board of Governors	March 7, 2018	12:00 p.m. - 5:00 p.m.	DTB 524
Board of Governors	May 9, 2018	12:00 p.m. - 5:00 p.m.	DTB 524
Board of Governors - AGM	June 27, 2018	12:00 p.m. - 5:00 p.m.	DTB 524
Executive Committee	September 6, 2017	10:00 a.m. - 12:00 p.m.	ERC 3023
Executive Committee	November 8, 2017	10:00 a.m. - 12:00 p.m.	ERC 3023
Executive Committee	January 24, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Executive Committee	March 28, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Executive Committee	May 23, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	September 27, 2017	10:00 a.m. - 1:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	November 15, 2017	10:00 a.m. - 1:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	February 7, 2018	10:00 a.m. - 1:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	April 19, 2018	10:00 a.m. - 1:00 p.m.	ERC 3023
Governance, Nominations & Human Resources Committee	May 31, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
Investment Committee	November 22, 2017	10:00 a.m. - 12:00 p.m.	ERC 3023
Investment Committee	February 21, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Investment Committee	May 31, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Investment Committee	August 15, 2018	10:00 a.m. - 12:00 p.m.	ERC 3023
Strategy & Planning Committee	October 16, 2017	12:30 p.m. - 3:30 p.m.	ERC 3023
Strategy & Planning Committee	November 8, 2017	12:30 p.m. - 3:30 p.m.	ERC 3023
Strategy & Planning Committee	January 24, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
Strategy & Planning Committee	March 28, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
Strategy & Planning Committee	May 23, 2018	12:30 p.m. - 3:30 p.m.	ERC 3023
OTHER DATES			
CCOU Conference	November 17 & 18, 2017		
Convocation	June 7 & 8, 2018		



BOARD REPORT

Meeting Type:

Public: ☒
 Non-Public: ☐

Action Required:

Discussion ☐
 Decision ☒

DATE: June 22, 2017

TO: Board of Governors

FROM: Adele Imrie, Board Chair

SUBJECT: Appointment of Board Officer for 2017-18

A. Purpose

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

B. Background

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

C. Discussion/Options

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

D. Recommendation

That the Board of Governors re-appoint Becky Dinwoodie as Secretary of the Board of Governors from July 1, 2017 until June 30, 2018.



**BOARD OF GOVERNORS
AUDIT & FINANCE COMMITTEE**

**MINUTES OF THE MEETING OF APRIL 19, 2017
1:30 p.m. to 3:30 p.m., ERC 3023
PUBLIC SESSION**

Attendees: Miles Goacher (Chair), Nigel Allen, Doug Allingham (*via teleconference*), Jeremy Bradbury (*via teleconference*), Adele Imrie, Tim McTiernan, Dietmar Reiner, Mary Simpson (*via teleconference*)

Staff: Robert Bailey, Larry Brual, Becky Dinwoodie, Craig Elliott, Brad MacIsaac, Susan McGovern, Pamela Onsiong

Guests: Mikael Eklund (UOIT Faculty Association)

1. Call to Order

The Chair called the meeting to order at 1:50 p.m.

2. Agenda

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

3. Conflict of Interest Declaration

M. Simpson declared a conflict regarding the UPASS.

4. Approval of Minutes of Meeting of February 15, 2017

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

5. Chair's Remarks

The Chair kept his remarks brief due to the full agenda. He welcomed new governor, D. Reiner, to his first Committee meeting.

6. SIRC Building Construction Project

L. Brual delivered an update on the SIRC Building. He advised that they have started putting up boarding and have enclosed the mechanical room. The project is on target for completion of Phase 1 and Phase 2. There are no recent safety incidents to report. He confirmed that 96% of the \$19.3M in tenders have been awarded and the budget remains on target at \$33.3M. He also advised that the source of gas issue has been resolved and the gas should be ready for the building by May. The technical issues with the transformer have also been resolved and the cost was absorbed by the GMP contract. He also reviewed the summary financial report as at the end of March 2017.

L. Brual presented the details of a change order requested for the installation of accessible doors. He provided an overview of the change request, which was to provide power-assisted door operators to classrooms and labs. The power-assisted doors were not included during the initial design phase and were not caught by the Code consultant as the consultant reviewed the design for Code compliance and not in the context of UOIT's commitment to being barrier-free. The cost impact will be \$194,000 and will be covered by contingency and not by EllisDon. If the work to install the doors is undertaken work now, it will not disturb classes/labs. The largest remaining risks are the FFE contracts and keeping on schedule.

7. Finance

7.1 2017-2018 Budget

C. Elliott presented the 2017-2018 budget. He discussed several of the major issues facing the University and advised that the University will focus on increasing its international student enrolment levels.

He also discussed the fundraising campaign and they anticipate the campaign coming to the Strategy and Planning Committee in May and to the Board in June. The campaign is allocated \$640,000 in costs under External Relations.

He confirmed that the SIRC building will not be included in the operational budget until it comes online in November. Also, the moving ground plane is not reflected in the current year's budget.

C. Elliott highlighted the budget contingency and advised that \$400,000 was removed from the overall contingency. He also discussed the TELE transition and showed the TELE expenses decreasing. The student fee related to TELE is also being reduced from \$580 to \$150. He also discussed the TELE reserve and the usage of the funds.

C. Elliott provided an overview of the budget consultation process, which reflects an effort to make the budget process more consultative and transparent. He also confirmed that the financial principles have not changed from the development of the last budget.

He identified broad topics that may impact the University but the timing of which is uncertain:

1. Demographic and impact of increased competition on enrolment;
2. Space challenges – classrooms, and labs;
3. Funding Formula and Net Tuition implications;
4. Balancing resource constraints in the key areas of academic quality, student experience, and service excellence;
5. Recruitment, development, and retention of UOIT faculty and staff; and
6. Fiscal position – debt to revenue.

(M. Simpson exited the meeting at 2:28 p.m.)

C. Elliott also identified the key challenges and opportunities for UOIT. He reviewed the key budget assumptions, highlighting the strategy regarding enrolment. He also presented financial metrics, which are used by the province and will be reported on through the SMA.

Key Budget Risks

- Enrolment targets not achieved
- Faculty negotiations/executive compensation
- Staffing objective shortfall – risk of not filling vacant positions & negatively affecting student experience
- Student Association re-organization

Key Opportunities

- International growth above plan
- Corridor funding for additional PhDs

Resource Allocation Model

- Works great when have increasing enrolments but less so when enrolments decrease
- Have moved from a RAM model to a cost allocation budget model
- C. Elliott explained the strategic funding summary

While reviewing the 2017-2018 proposed draft budget, C. Elliott explained the deficit for ACE and advised that the terms of the new GM Contract had not yet been incorporated. He would expect to see an improvement in ACE with the new contract terms. They are also forecasting that the campus childcare centre will be profitable. He showed that the Campus Fieldhouse is doing better than planned. There was a discussion regarding the Ice Centre issues and C. Elliott advised that they are continuing to work with the City on the issue.

(D. Allingham exited at 2:55 p.m.)

Strategic Plan Achievements

D. Saucier provided the Committee with an update on the achievements made on the 2012-2016 Strategic Plan. She also reviewed the highlights of the progress made towards the 2017-2022 Strategic Plan. She presented the 2017-2018 Budget Strategic Initiatives reflected in the base expenses, including:

- | | | |
|---|---|--------|
| • New faculty hires (maintain Student:Faculty) | - | \$1.2M |
| • Sessionals and TAs (reduce class size) | - | \$0.4M |
| • Student support (e.g. scholarships, advising) - | | \$1.0M |
| • Test Centre (help students succeed) | - | \$0.2M |
| • English Language Centre (internationalization) | - | \$0.4M |
| • IT Network Administrator & PCI compliance - | | \$0.2M |

She also reviewed the one time only expenses for 2017-2018 strategic initiatives.

C. Elliott provided the background to the 2017-18 budget reductions. He presented the unfunded budget items and identified the risks and the mitigation strategies for each. The four main risks identified were:

1. student experience;
2. academic quality/faculty & staff;
3. physical hazards & safety/crisis response/business continuity; and
4. legal/compliance liability.

He confirmed that there will be additional discussions at Academic Council (AC) regarding the budget.

The Committee discussed obtaining funding for PhD programs. D. Saucier explained the issue raised at AC the previous day regarding the budget, which was a result of the timing of the discussions. This will be taken into consideration for scheduling consultations with AC going forward. The budget will be discussed at the Academic Council Executive (ACX) Committee meeting on May 2 and was also discussed at the ACX meeting in September.

A question was raised about the identified risks and whether they go through the risk register process. Also, if “asks” are made and not granted, are the mitigation strategies discussed with the budget holder? D. Saucier advised that the risks and mitigations are discussed and placed on the risk register if it belongs to her.

(J. Bradbury exited at 3:22 p.m.)

D. Saucier confirmed that consideration is given to risk and the mitigation strategies formed part of the budget presentations. D. Saucier discussed the issue of filling vacant faculty positions; primarily, that as vacant positions are filled others become vacant soon thereafter. There was also a discussion as to how Faculty carry-forwards operate in terms of salaries for vacant positions.

Upon a motion duly made by T. McTiernan and seconded by N. Allen, the Audit and Finance Committee recommended the 2017-2018 budget, as presented, to the Board of Governors for approval.

7.2 2017-2018 Tuition & Ancillary Fees

B. MacIsaac delivered a presentation on the Fee Context. He discussed the role of the Board in approving fees, as well as the process for developing tuition fees. This is the first year the Board will consider the fees for two years as it will support the new policies implemented by the Ministry regarding net tuition practices. He presented undergraduate and graduate comparisons of 2016-2017 fees for Ontario institutions for both domestic and international students.

UOIT's undergraduate ancillary fees are the highest in the system. However, our ancillary fees have not increased over the last few years and our ancillary fees are now closer to those of other institutions. UOIT ancillary fees include \$120 for the transit pass, which is not included for many other institutions. The total of UOIT's tuition and ancillary fees are now below the system average.

B. MacIsaac explained the "free tuition" concept for Ontario students from families with incomes less than \$50,000. The tuition grants will now be given up-front instead of at the back end. He also discussed the student debt myth (approximately 40% of students graduate without debt).

There was a discussion regarding whether the international undergraduate tuition could be increased as we are below the system average. B. MacIsaac responded that he believes the market could bear a tuition increase; however, it is also a political decision to increase tuition. D. Saucier added that the demographics of UOIT international students differ from other institutions' international students. They must also consider the type of support international students require once they arrive.

Upon a motion duly made by T. McTiernan and seconded by D. Reiner, the Audit and Finance Committee recommended the 2017-2018 and 2018-2019 tuition fees, as presented, for approval by the Board of Governors.

B. MacIsaac highlighted the increases in specific areas of the ancillary fees. He informed the Committee of the composition of the Ancillary Fee Committee. They are recommending an overall increase of 1.4%, largely due to the UPASS increase. B. MacIsaac responded to questions from the Committee.

Upon a motion duly made by T. McTiernan and seconded by N. Allen, the Audit and Finance Committee recommended the 2017-2018 and 2018-2019 ancillary fees, as presented, for approval by the Board of Governors.

7.3 10-Year Financial Plan

C. Elliott reviewed the 10-year forecast. The forecast incorporates information they have for grant funding. They forecast surpluses in the first 4 years and smaller losses in the following years.

This is a conservative forecast. There was a discussion regarding the effort needed to increase international student enrolment. B. MacIsaac advised they would require additional staff members to increase recruitment efforts as they are currently using an agent overseas that charges one-third tuition. Space continues to be a consideration in increasing enrolment.

8. Compliance & Policy

8.1 University Risk Management

C. Foy provided an update on the University Risk Management process. She noted that several of the risks identified in the budget presentation came out of the development of the risk register last year. She added that last year it was desired to have a strategic risk discussion at the Board level this year; however, there has not been an opportunity to do so. Consideration should be given to having a placeholder for it on the work plan for next year.

She confirmed that the Risk Management Committee (RMC) has been meeting regularly. The focus of the RMC has been to rationalize and synthesize the risks identified last year. She clarified that some situations characterized as risks are more organizational conditions of operation (used the example of a lack of resources).

Risk Register Finalization Process

The RMC is identifying institutional level risks that require attention at an institutional level (used space as example – identified by many departments & risk assigned to Space Committee). C. Foy presented a draft list of risk holders. The red items identify new risk holders, including: Academic Council, Budget Working Group, and Policy Advisory Committee

This process will result in a significant reduction in the number of risks as common risks are amalgamated. This will also provide comfort that risks have been identified both bottom-up and top-down.

The Committee discussed how to keep the risk management process live and how to measure success. C. Foy confirmed that it is more of a 10-year project. She advised that they will be reporting to A&F and the Board on the key risks.

9. Other Business

10. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by D. Reiner, the meeting terminated at 3:59 p.m.

Becky Dinwoodie, Secretary



**BOARD OF GOVERNORS
Governance, Nominations and
Human Resources Committee**

**Public Session Minutes for the Meeting of March 29, 2017
12:10 p.m. to 1:30 p.m., ERC 3023**

Attendees: Karyn Brearley (Chair), Adele Imrie, Tim McTiernan,

Staff: Robert Bailey, Becky Dinwoodie, Craig Elliott, Cheryl Foy, Douglas Holdway, Susan McGovern

Guests: Mikael Eklund

Regrets: Dan Borowec, Andrew Elrick, Jay Lefton, Mike Snow

1. Call to Order

The Chair called the public session to order at 12:23 p.m.

2. Agenda

The Agenda was approved, as presented.

3. Conflict of Interest Declaration

There was none.

4. Approval of Minutes of the Meeting of January 25, 2017

A typo was noted in the time of the end of the meeting – it ended at 12:30 p.m. and not 2:30 p.m.

Upon a motion duly made by A. Imrie and seconded by T. McTiernan, the Minutes were approved, as amended.

5. Chair's Remarks

The Chair welcomed Francis Garwe, a new governor, to the GNHR Committee and she looks forward to his active participation.

6. President's Remarks

The President advised that the Canada Foundation for Innovation announced its new President, Roseann O'Reilly Runte, effective August 1, 2017. R. Runte recently resigned as President of Carleton.

He also reported on the Academic Award Luncheon for UOIT's student athletes. They celebrated 47 student athletes who also have exceptional academic achievements. He informed the Committee of the success of the UOIT team that participated in McMaster's Life Sciences Challenge and received the award for best presentation.

7. Governance

7.1 Annual Board Practices Assessment Review

The Chair provided the background to the Annual Board Practices Assessment Review and introduced S. Van Nuland and J. Bradbury, who conducted a substantive review of the assessment form.

S. Van Nuland identified the main concern with the questions, which was that they were double-barreled. She and J. Bradbury separated out the questions to ensure that each question focuses on single area.

S. Van Nuland walked through the proposed changes with the Committee. No changes were required to the section regarding the structure of the Board.

It was recommended to send the form out to individual Board members as a link as opposed to performing the assessment collectively in order to make the best use of Board members' time.

There was a discussion regarding the difference between "neither agree/disagree" and "no response". S. Van Nuland also suggested running it through "google docs".

Concern was expressed about the participation rate if we move away from the online poll method. The response rate via e-mail will be monitored. The consensus of the Committee was to use the amended assessment form going forward.

Upon a motion duly made by T. McTiernan and seconded by A. Imrie, the Committee approved the amended Board Practices Assessment Form, as presented.

7.2 By-Law Review Project

C. Foy provided an update on the By-Law Review Project. The working group will be recommending two by-laws: 1 general by-law and a second by-law dedicated to Academic Council. At the next meeting of the working group, the group will be reviewing the initial draft of By-law Number 1. C. Foy asked the Committee to consider whether it will be an appropriate time for the governor members of the working group to begin attending meetings as most of the groundwork has been laid. The Committee supported this approach.

7.3 Risk Management

C. Foy provided an update on the progress being made on the risk register over the past year. After reviewing all of the risks, the risks have been grouped and will be assigned to specific departments. She used the example of a common risk of space constraints and advised that that it will be assigned to the Space Working Group. The next step will be taking the compiled risk registers to the risk owners. The goal is to bring it forward to the Board at the AGM. There was a general discussion regarding the progress made so far and the work being done on changing the culture of the institution.

7.4 Policy

(a) Student Sexual Violence Policy Review

M. Bowman provided an update on the steps taken since the Board meeting in December. He listed the engagement efforts undertaken over the last 3 months, including:

- the development of the website
- training of staff/faculty
- Healthy Sexuality Committee - 30 staff volunteers and 80 student volunteers
- classroom visits, online student survey (approximately 650 respondents)

He also discussed several of the challenges, including:

- delivering, developing & selecting training
- cancellation of Healthy Sexuality Summit due to lack of participation
- discrepancy between intention & action

M. Bowman summarized the consultation history since December, as well as the feedback received. There is positive support for the policy documents. There has been active engagement from staff members following the training sessions. The proposed changes to the policy documents are largely formatting and not substantive. They are also building an awareness strategy with Communications & Marketing, as well as developing online training.

There was discussion regarding whether they will try to reschedule the Summit or organize another event. M. Bowman advised that they will try to schedule the event in September. The Committee was supportive of the Summit idea. M. Bowman will review how best to organize the Summit while maintaining the student focus.

(b) Workplace Violence Policy Review

C. Foy reported on the Workplace Violence Policy review. She provided a summary of the consultation conducted prior to the approval of the policy and procedures in December. They committed to an additional three month period for the community to provide comments and feedback. All of the comments were included in the Committee's materials for reference.

She highlighted the key comments received and how they are being addressed. She discussed the process of implementing a single policy library with one person managing them to remove outdated policies from the website. She walked through the proposed changes to the policy

documents. She clarified that the Workplace Violence Policy only supersedes the Harassment and Discrimination Policy in part, as it currently still applies to students.

Upon a motion duly made by A. Imrie and seconded by T. McTiernan, the Governance, Nominations and Human Resources Committee recommended the proposed amendments to the Policy Against Violence, Harassment and Discrimination in the Workplace and Procedures to Prevent and Address Violence, Harassment and Discrimination in the Workplace, as presented, for approval by the Board of Governors.

8. Other Business

9. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by A. Imrie, the meeting terminated at 1:15 p.m.



**BOARD OF GOVERNORS
Strategy & Planning Committee**

**Minutes for the Public Meeting of Wednesday, March 22, 2017
1:50 p.m. to 3:30 p.m., ERC 3023**

Attendees: Valarie Wafer (*via teleconference*), Don Duval (*via teleconference*), Miles Goacher (*non-voting guest*), Adele Imrie, Tim McTiernan, John McKinley, Glenna Raymond, Ololade Sanusi, Bonnie Schmidt (*via teleconference*), John Speers (*via teleconference*), Mary Steele, Shirley Van Nuland (*via teleconference*)

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

Guests: Mike Eklund

1. Call to Order

The Chair called the meeting to order at 2:05 p.m.

2. Agenda

The Agenda was approved, as presented.

3. Conflict of Interest Declaration

There was none.

4. Chair's Remarks

The Chair reported on the recent successful Board Retreat. The general feedback was that it was a helpful day for the Board and the format worked well. She commented that the Board should revisit that type of meeting more than every 5 years, as it is an excellent learning opportunity. The Chair thanked D. Saucier, C. Foy, A. Imrie, B. Dinwoodie and all those involved in planning and coordinating the retreat. She also thanked J. McKinley for chairing the last Committee meeting in her absence.

5. Approval of Minutes of the Meeting of January 18, 2017

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

6. President's Remarks

COU Key Initiatives

The Funding Formula is a priority for the Ministry. The President advised that there would be no growth funding. Extensive work has been done to re-shape the funding buckets to make them simpler, easier to understand and provide a common base of funding.

Student mental health and related support is an emerging issue.

SMA

Bonnie Patterson, the Ministry's negotiator, has completed the first round of SMA meetings with Ontario's institutions. At her meeting with UOIT, there were candid discussions about the University's strengths, opportunities, challenges, and the gap between the STEM focus and funding base. Performance indicators will be an ongoing discussion.

UC

UC is focusing on experiential learning and support for Indigenous learning. They are also working on providing input on innovation policy at the federal level. The President confirmed that the Naylor report on Canadian research has been submitted but not yet released by the government.

7. Annual Endowment Report & Endowment Disbursement

C. Elliott presented the annual endowment report. He clarified that the former Advancement Committee used to recommend this item and it now comes forward to the Strategy and Planning Committee. He provided the Committee with a summary of how the endowment investment has performed over the past 7 years.

C. Elliott provided a cumulative investment income summary and reviewed the gift agreement requirements. The University is required to disburse between 3-4% of the endowment. The Disbursement Committee recommended that \$480,000 be disbursed from the endowment funds and distributed as student awards in 2017-18. The recommendation was also presented to and recommended by the Audit and Finance Committee on February 15.

The Committee asked for confirmation as to what percentage of that amount will actually be disbursed. C. Elliott advised that they anticipate that the entire amount will be disbursed.

Upon a motion duly made by T. McTiernan and seconded by J. McKinley, pursuant to the recommendations of the Disbursement Committee and the Audit and Finance Committee of the Board of Governors, the Strategy & Planning Committee recommended that the Board of Governors approve the disbursement of \$480,000 from the Endowment Funds to be distributed as student awards in 2017-18.

8. Strategic Mandate Agreement (SMA)

The Chair introduced R. Bailey to discuss the SMA. R. Bailey confirmed that the role of the Committee is to ensure that the SMA aligns with the university's Strategic Plan. The SMA was being presented to obtain the Committee's endorsement of the key principles in the draft. The content of the draft was guided by the feedback obtained through town halls and other consultation sessions.

R. Bailey provided an overview of the key concepts of the SMA, which were also set out in the report included in the meeting material:

Student Experience

- Deepen learning experience & enhance success
- Suggestion to capture the unique student relationships with their instructors & TAs here compared to other institutions – more similar to smaller institutions despite class size
- R. Bailey confirmed that the University is working on early warning systems to assist students who are experiencing difficulties in first year

Innovation in Teaching and Learning Excellence

- Focus on extending outcomes-based learning strategies to all programs
- Unique in the sense that we prepare students for a career
- Emphasis on technology

Access and Equity

- East GTA is ripe for growth in upcoming years
- R. Bailey remarked that UOIT is “of the place” & truly reflects Durham Region
- Discussed the diverse population of UOIT students – challenge to help students reach their potential
- Suggestion to include language about commitment to Indigenous education

Research Excellence & Impact

- Amplify reputation for research through the application of multidisciplinary, technology-driven approaches to scholarship & innovation
- Continue strong commitment to entrepreneurship & incubation opportunities for our students & the community

Innovation, Economic Development & Community Engagement

- Build on the Durham Region's & Northumberland County's Strategic Plans which speak to the alignment of UOIT with the needs of regional development & the role that innovative educational partnerships will have in creating opportunities
- Commit to foster existing partnerships & expand opportunities to ensure continued excellence
- Enhance the strong connection to the Mississaugas of Scugog Island First Nation with innovative programming, both at UOIT & at the First Nation
- Develop strategic academic partnerships with other indigenous communities across Canada that will strengthen both UOIT and these communities.

There was a discussion regarding the role the University plays in relation to First Nation communities and consideration given to whether that relationship should be discussed under "Access and Equity" as opposed to "Innovation, Economic Development & Community Engagement". It was also noted that the economic impact should perhaps be broader than Durham Region, as our students go beyond the region once they start working. We should highlight the national impact of our students

Enrolment

B. MacIsaac discussed the corridor funding aspect of the SMA. He presented the actual enrolments for the past three years and the projected enrolment under the next SMA. The projected enrolments take space constraints into account. R. Bailey discussed his experience with rapid growth of the international student population at another institution, which was not implemented in a strategic manner. UOIT's planned growth of international students is strategic and the University is conducting careful enrolment planning (e.g. student support with language programs).

Education is within the corridor and has specific targets. The starting point for PhD spots is our 2016-17 numbers. We have provided B. Patterson with our growth plan since we have two new programs that are just starting.

The Committee discussed projected enrolment and how enrolment should be framed in the SMA. A few of the issues facing the institution are local competition and a demographic shift. Enrolment planning is also influenced by space constraints and academic quality.

9. Space

C. Elliott delivered a presentation on Space Considerations. He emphasized that the strategies for maximizing space have been exhausted. He reviewed the university's average NASMs, as well as the facility conditions. C. Elliott advised that we have a lot of leased and temporary space. Due to the University's acute space needs, we cannot relinquish portables or leased space.

He presented the projections of FTE growth and NASMs/FTE over the next six years. He discussed plans for future growth, including the construction of SIRC. The mild weather has contributed to the progress being made on the construction of the SIRC building. C. Elliott also provided an update on the CARIE building and other design-ready projects.

10. Other Business

S. McGovern provided an update on Minister Duguid's visit to UOIT and showed a related video.

The deadline for feedback on the SMA is April 18.

11. Termination

There being no other business, upon a motion duly made by T. McTiernan and seconded by A. Imrie, the public session of the meeting terminated at 3:30 p.m.

Becky Dinwoodie, Secretary

BOARD REPORT

Non-Public: ☐
Public: ☒

Action Required:

Discussion ☐
Decision ☐

DATE: June 22, 2017

FROM: Adele Imrie, Board Chair

SUBJECT: Report of the Board Chair – Summary of Activities

A. Purpose

To report on Board activities in 2016-17.

B. Background/Context

Membership on the UOIT Board of Governors in 2016-17:

Noreen Taylor, Chancellor
Tim McTiernan, President and Vice-Chancellor
Adele Imrie, Chair
Miles Goacher, Vice-Chair
John McKinley, Vice-Chair
Nigel Allen
Douglas Allingham
Dan Borowec (resigned April 2017)
Jeremy Bradbury (elected teaching staff representative)
Karyn Brearley
Don Duval
Andrew Elrick
Francis Garwe (appointed March 2017)
Jay Lefton
Glenna Raymond
Dietmar Reiner (appointed March 2017)
Ololade Sanusi (elected graduate student representative)
Bonnie Schmidt
Mary Simpson
Michael Snow
John Speers
Mary Steele (elected non-academic staff representative)
Laurie Swami (resigned October 2016)

Tyler Turecki (elected undergraduate student representative)
Shirley Van Nuland (elected teaching staff representative)
Valarie Wafer

Committee Membership for 2016-17 was as follows:

Executive Committee

Adele Imrie, Chair
Miles Goacher, Vice-Chair and Chair of Audit & Finance Committee
John McKinley, Vice-Chair
Nigel Allen, Chair of Investment Committee
Karyn Brearley, Chair of Governance, Nominations & Human Resources Committee
Tim McTiernan, President (ex-officio)
Glenna Raymond, former Chair
Valarie Wafer, Chair of Strategy & Planning Committee

Audit and Finance Committee

Miles Goacher, Chair
Nigel Allen
Doug Allingham
Jeremy Bradbury
Adele Imrie
Dietmar Reiner
Mary Simpson
Laurie Swami

Governance, Nominations and Human Resources Committee

Karyn Brearley, Chair
Dan Borowec
Andrew Elrick
Francis Garwe
Jay Lefton
Mike Snow

Investment Committee

Nigel Allen, Chair
Miles Goacher
John Speers
Tyler Turecki

Strategy & Planning Committee

Valarie Wafer, Chair
Don Duval
Adele Imrie
Jay Lefton
John McKinley
Ololade Sanusi
Bonnie Schmidt
John Speers

Mary Steele
Shirley Van Nuland

In total, the UOIT Board and its various standing and ad hoc committees met 33 times in 2016-17.

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 14, 2016
- December 7, 2016
- January 5, 2017 (conference call)
- March 1, 2017
- March 28, 2017 (conference call)
- May 3, 2017
- June 22, 2017 AGM

Additionally, there was a Board of Governors Retreat on March 9 and 2 Orientation Sessions, which were conducted immediately before the meetings in March and May. A PD session for Committee Chairs was also held in April.

The standing committees had a total of 26 meetings which were held as follows:

Committee	Number of Meetings	Meeting Dates
Audit & Finance	5	Oct 5, Nov 16, Feb 15, Apr 19, and June 12
Executive	8	Sept 9, Oct 26, Nov 9, Jan 18, Feb 27, Mar 22, May 17, June 7
Governance, Nominations & Human Resources	5	Sept 29, Nov 23, Jan 25, Mar 29 and June 7
Investment	3	Nov 16, Feb 15, May 24
Strategy & Planning	5	Sept 22, Nov 9, Jan 18, Mar 22 and May 17
Total:	26	

Annual Policy Review and Compliance Update

Provided to: Board of Governors

By: Cheryl Foy

Date: June 22, 2017



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

Update against Policy Objectives for 2016-2017 Objectives

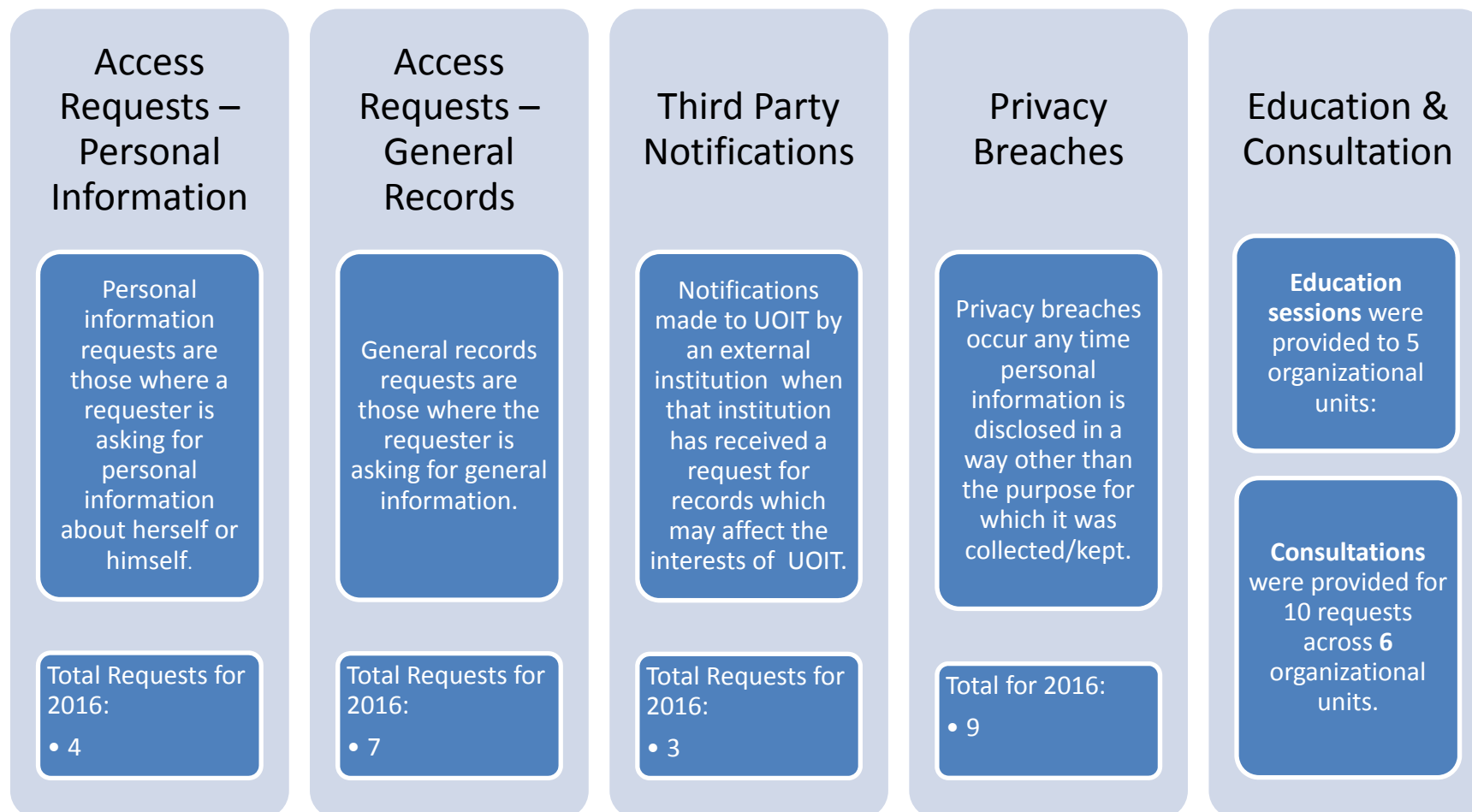
- Completion of the Workplace Violence, Sexual Violence and Harassment Policies (Board Approval December 2016).
- By-Law Review Project
- Complete the transition from Administrative Code to Policy Library as part of the USGC website development project.
- Development of:
 - Online resources to support 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.

2017-2018 Policy Focus

- Completion of the By-Law Review Project (Dec. 31, 2017)
- Continue 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.
- Key Policy Instruments for UOIT focus: Signing Authority Policy, Ethics and Conduct Policy

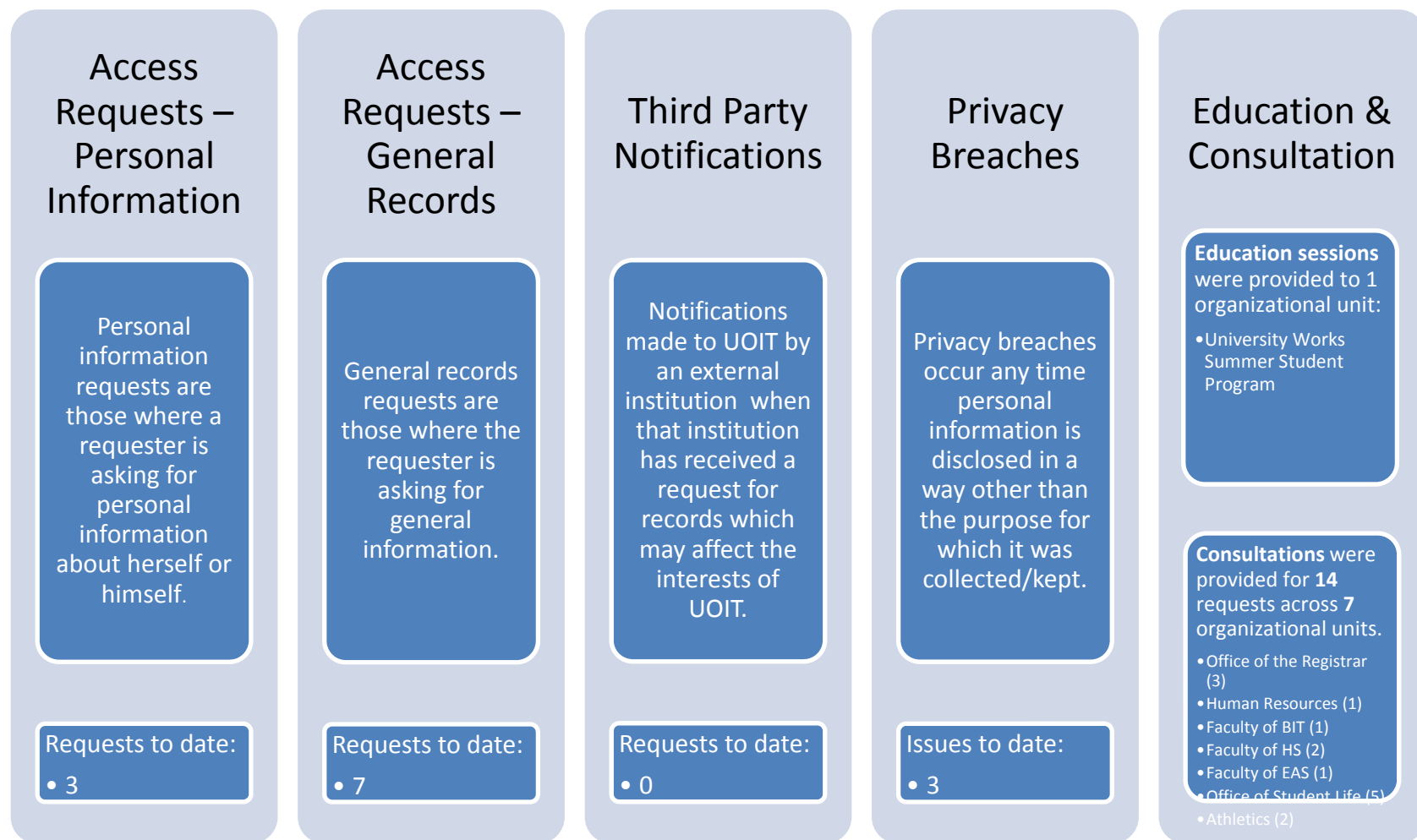
FIPPA Compliance: 2016

The following information relates to the period of January 1 – December 31, 2016. Privacy information is tracked based on calendar year for reporting to the Information and Privacy Commission (IPC).



FIPPA Compliance: 2017

The following information relates to the period of January 1 – June 5, 2017. Privacy information is tracked based on calendar year for reporting to the Information and Privacy Commission.



Appeals: 2016: 5 YTD: 1 + 2 in progress from 2016

Privacy Compliance 2017-2018

Focus

- 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.

Legislative Compliance

AODA

- Ongoing work for 2017 - 2018 will include a review of:
 - Updating of the University's Multi-Year Accessibility Plan.
 - Current policies and procedures to update policies, identify policy gaps and respond to proposed amendments to the Customer Services Standards;
 - Structure and terms of reference of the Accessibility Working Group.

CASL

- Providing ongoing consultation and advice to key stakeholders regarding the application of CASL requirements.
- Ongoing work for 2017-2018 will include working with Communications and Marketing to review the application of CASL to communications such as the Weekly Report in order to help support messaging to the university community.
- Monitoring legal developments

Records Management: 2016-2017

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.

Policy Instruments

- Records Management Policy
- Document Imaging Policy
 - Approved June 2015
- Records Disposition Procedure
- Records Classification and Retention Schedule (RCRS)
 - Approved April 2016

Disposition of Records

- Developed guidelines for the systematic disposal of scanned documents according to CGSB guidelines. Systematic disposal has begun.
- Disposal of eligible paper records in Student Records, Faculty of Education.
- Disposal of **5 TB** of electronic records from UOIT's LMS.

Awareness, Education & Resources

- Conducted **15** education sessions, training **35** individuals across **12** organizational areas.
- Provided one on one instruction to conduct inventory in **10** organizational areas.
- Developed and rolled out online tools and guidance for records management.

Records Management 2017-2018

Focus

- 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.
- Continue to 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.

Contracts Compliance:

- Current user groups (number of contracts/policies):
 - Research Services **(808)**
 - Office of the General Counsel **(317)**
 - Includes contracts from Procurement, Services, Faculty of Health Science, Faculty of Social Science and Humanities.
 - Policy **(102)**
 - Total contracts/policies **(1251)**
- Contract types
 - Institutional Collaboration **(273)**
 - Research Agreements **(714)**
 - Intellectual Property **(94)**
 - Goods/Services **(32)**
 - Financial Agreements **(8)**
 - Real Property/Leases **(8)**
- 2017 focus:
 - Continue to enter contracts;
 - Expand functionality to additional user groups.