

**BOARD OF GOVERNORS' 128<sup>th</sup> REGULAR MEETING & ANNUAL GENERAL MEETING**

**AGENDA**

Wednesday, June 28, 2023

9:00 a.m. to 1:20 p.m.

55 Bond Street, Oshawa, ON – 5<sup>th</sup> floor Boardroom

[Videoconference](#)

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No.		Topic	Lead	Allocated Time	Suggested Start Time
<b>PUBLIC SESSION</b>					
1		<b>Call to Order</b>	Chair	5	9:00 a.m.
2		<b>Agenda (M)</b>			
3		<b>Conflict of Interest Declaration</b>			
4		<b>Chair's Remarks</b>	Chair	10	9:05 a.m.
5		<b>President's Report</b>	Steven Murphy	10	9:15 a.m.
6		<b>Academic Council Report*</b>	Carla Carmichael	5	9:25 a.m.
<b>Committee Reports:</b>					
7		<b>Audit &amp; Finance Committee (A&amp;F)</b>	Carla Carmichael	10	9:30 a.m.
		<b>Finance:</b>			
	7.1	2022-2023 Audited Financial Statements (includes internally restricted funds)* (M)	Carla Carmichael	15	9:40 a.m.
	7.2	Fourth Quarter Financial Reports* (U)	Carla Carmichael	5	9:55 a.m.
	7.3	Interim Risk Report* (U)		5	10:00 a.m.
8		<b>Governance, Nominations &amp; Human Resources Committee (GNHR)</b>	Maria Saros	5	10:05 a.m.

No.		Topic	Lead	Allocated Time	Suggested Start Time
	8.1	Board & Committee Practices Assessment* (D)	Maria Saros	5	10:10 a.m.
	8.2	Annual Consolidated Human Rights Report* (U)	Maria Saros	5	10:15 a.m.
<b>9</b>		<b>Strategy &amp; Planning Committee (S&amp;P)</b>	Lynne Zucker	5	10:20 a.m.
	9.1	2023-2028 Integrated Academic Research Plan* (M)	Lynne Zucker	10	10:25 a.m.
	9.2	Institutional and SMA3* Metrics* (U)	Lynne Zucker	10	10:35 a.m.
	9.3	International Strategy Update* (U)	Lynne Zucker	5	10:45 a.m.
<b>10</b>		<b>Consent Agenda: (M)</b>			
	10.1	2023-2024 Board and Committee Schedule*	Chair	5	10:50 a.m.
	10.2	Appointment of Board Secretary*			
	10.3	Minutes of the Public Session of Board of Governors – April 27, 2023*			
	10.4	Minutes of the Public Session of A&F – April 12, 2023*			
	10.5	Minutes of the Public Session of GNHR – March 30, 2023*			
	10.6	Minutes of the Public Session of S&P – March 22, 2023*			
	10.7	2023-2024 Endowment Disbursement*			
	10.8	A&F Annual Report*			
	10.9	Annual Policy Report*			
	10.10	Privacy Update*			
	10.11	GNHR Annual Report*			
	10.12	Review of EDI Statement*			

D – Discussion

M – Motion

P – Presentation

U – Update

\*Documents Attached

	10.13	Annual Pension Plan Report*			
	10.14	S&P Annual Report*			
	10.15	Digital Strategy*			
	10.16	Annual Programs Update* (a) 2022-2023 Quality Assurance Process & Program Annual Report (b) 2022-2023 Continuous Learning (CL) Annual Report*			
	10.17	Annual Board Chair report*			
<b>11</b>		<b>Adjournment (M)</b>	Chair		10:55 a.m.
<b>BREAK – 10 minutes</b>					
<b>NON-PUBLIC SESSION (material not publicly available)</b>					
		<b>HAIL &amp; FAREWELL + Lunch</b>	Steven Murphy	30	11:05 a.m.
<b>12</b>		<b>Call to Order</b>	Chair	5	11:35 a.m.
<b>13</b>		<b>Conflict of Interest Declaration</b>			
<b>14</b>		<b>Chair’s Remarks</b>	Chair	10	11:40 a.m.
<b>15</b>		<b>President’s Items</b>			
	15.1	Interim Senior Administrative Appointments* (M)	Steven Murphy	10	11:50 a.m.
	15.2	President’s Report	Steven Murphy	10	12:00 p.m.
<b>Committee Reports (confidential items only):</b>					
<b>16</b>		<b>A&amp;F Report</b>	<b>Carla Carmichael</b>	5	12:10 p.m.
	16.1	External Audit – Sector Trends (U)*	Carla Carmichael	10	12:15 p.m.
	16.2	Risk Management – Non-Public Questions	Carla Carmichael	5	12:25 p.m.
<b>No.</b>		<b>Topic</b>	<b>Lead</b>	<b>Allocated Time</b>	<b>Suggested Start Time</b>

D – Discussion

M – Motion

P – Presentation

U – Update

\*Documents Attached

	16.3	Ministry Financial Targets* (U)	Carla Carmichael	5	12:30 p.m.
<b>17</b>		<b>GNHR Report</b>	<b>Maria Saros</b>	10	12:35 p.m.
	17.1	Governor Re-Appointment* (M)		5	12:45 p.m.
<b>18</b>		<b>S&amp;P Report</b>	<b>Lynne Zucker</b>	5	12:50 p.m.
	18.1	Advancement Update* (U)	Lynne Zucker	5	12:55 p.m.
<b>19</b>		<b>Consent Agenda (M):</b>			
	19.1	Minutes of the Non-Public Session of Board April 27, 2023*	Chair	5	1:00 p.m.
	19.2	Minutes of the Non-Public Session of A&F – April 12, 2023*			
	19.3	Minutes of the Non-Public Session of GNHR – March 30, 2023*			
	19.4	Minutes of the Non-Public Session of S&P – March 22, 2023*			
	19.5	Human Resources Strategic Objectives 2023-2024*			
	19.6	Governor Appointment to Academic Council 2023-2024* (M)			
<b>20</b>		<b><i>In Camera</i> Session</b>	<b>Chair</b>		
	20.1	President's Performance Goals & Review* (D)	Chair	15	1:05 p.m.
<b>21</b>		<b>Termination (M)</b>	<b>Chair</b>		1:20 p.m.

Lauren Turner, University Secretary

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Carla Carmichael, Academic Council Liaison to the Board of Governors

**SUBJECT:** Academic Council Report - June 2023

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Academic Council (AC) is the academic governing body for Ontario Tech and it plays a significant role in university governance. It is the role of AC to oversee the academic work of the University, and to advise and make recommendations to the Board on important matters. As the governor member of AC, I'm pleased to deliver the following report of AC activities from April 2023 – May 2023.

As one of the University's governance bodies, AC engaged in a strategic discussion on Micro-Credentials.

Significant University-wide matters brought before AC included:

- At the April meeting, Brad Maclsaac provided an update on the Campus Master Plan
- At the May meeting, Brad Maclsaac, Lori Livingston, and Sarah Cantrell presented the 2023-2026 Budget and Lori Livingston and Sarah Cantrell provided an update on the Integrated Academic-Research Plan and Institutional Metrics for discussion

**AC Meeting Materials:**

[April 2023](#)  
[May 2023](#)

## **Governance Initiatives**

- In April the Governance and Nominations Committee advised Council of the approval of a second call for nominations for teaching staff representatives on Council and its Committees, due to a low number of nominations received during the first election
- AC was consulted on revisions to the Academic Appeals Committee Terms of Reference

## **Curriculum & Program Changes**

AC received the following Minor Program Adjustments for information:

- Bachelor of Health Science in Medical Laboratory Science & Medical Laboratory Science Bridge for Biotechnology Advanced Diploma
- Bachelor of Science in Nursing and RPN to BScN Bridge
- Bachelor of Science in Computer Science & Specializations in Data Science and Digital Media
- Bachelor of Engineering in Energy Engineering

## **Policy**

AC received the following policy instruments for information:

- Revised Directives on the Use of Digital Learning Resources for Assessment Purposes

AC was consulted on the following policy instruments:

- Academic Appeal (Undergraduate) Policy and Procedures

## **Reports Received**

- 2023 Honorary Degree Recipients
- COU Academic Colleague Report
- Teaching Award Recipients
- 2022-23 Quality Assurance Process & Program Annual Report
- 2022-23 Continuous Learning Annual Report

## **Conferral of Degrees**

Academic Council approved the conferral of degrees for students who completed their requirements at the end of the Winter Term 2023.

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Pamela Onsiong

**SLT LEAD:** Brad MacIsaac

**SUBJECT:** Fourth Quarter Financial Reports: Management Reporting -  
Operating Summary for the year ending March 31, 2023

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**BOARD/COMMITTEE MANDATE:**

The Audit and Finance Committee ("Committee") is responsible for overseeing the financial affairs of the University, including approval of the annual budget and financial reporting to ensure that appropriate financial controls, reporting processes and accountabilities are in place at the University. This report was presented to the Committee on June 12, 2023.

**BACKGROUND/CONTEXT & RATIONALE:**

In April 2022, the Committee approved a budget with a net operating surplus of \$1.0M for the 2022/23 fiscal year. This report provides the Committee with an overview of the actual year-end financial results against the approved budget and the third quarter forecast (Appendix 1).

The operating budget is based on a projection of cash receipts and expenditures for the year. This contrasts with the audited financial statements which are prepared in accordance with generally accepted accounting principles ("GAAP") for non-for-profit organizations in Canada. In arriving at the year-end results on a GAAP basis, adjustments are required to be made to the management report,

- The management report includes cash outlays for capital investment in the budget year while the GAAP financial statements include an expense that reflects the amortization of all capital assets over their useful lives.

## **HIGHLIGHTS:**

In addition to normal operating activities, these Consolidated financial statements reflect a series of financial transactions that took place between the University and the Regent Square Property Corporation (“Regent Corporation”) on Feb 21, 2023, and these are as follows:

On September 1, 2010, the University had entered into a capital lease arrangement on a property located at 55 Bond Street in downtown Oshawa with the Regent Corporation. Regent Corporation is a taxable entity registered with the Canada Revenue Agency.

On February 21, 2023 and,

- (i) Pursuant to a share purchase agreement, the University acquired control of the Regent Corporation and its related property for cash consideration, amounting to \$7.5M. Consideration paid exceeds the fair value of assets acquired and liabilities assumed giving rise to \$1.0M of goodwill upon acquisition.

In connection with the acquisition the University obtained land and buildings with a fair market value of \$13.0M and assumed a mortgage of \$6.4M.

- (ii) The University surrendered its interest in the original capital lease with Regent Corporation and the lease was terminated, resulting in a \$2.1M non-cash loss as the net book value of the asset under capital lease was greater than the carrying value of the lease liability.
- (iii) As recommended by our tax consultants, and in order to minimize the tax obligations of the Regent Corporation, full beneficial ownership of the property was gifted by Regent Corporation to the University

## **Statement of Operations**

The University ended the year with a surplus of \$2.6M. Total revenues increased by \$8.7M (3.9%) and expenses increased by \$18.5M (8.7%) over the prior year.

The University continues to face financial challenges with the ongoing tension between revenues and expenses. On the one hand, the Provincial tuition framework has kept tuition fees for domestic funding-eligible programs flat at the 2019-20 levels, after a 10% decrease in the prior year. Grant funding, except for the Collaborative Nursing program, has also remained flat with current year funding for domestic students at the 2016-17 funding level. Expenses, on the other hand, continue to outpace revenue growth with increasing labour costs and operating spending at the higher pre-pandemic levels.



## **Statement of Operations (continued)**

**Revenue** increase is largely driven by:

- \$3.6M increase in tuition fees (international tuition increase of \$5.3M due to growth and year-over-year increase in international tuition fees, offset by domestic/other decreases \$1.7M primarily attributable to the impact of flow-through of the smaller domestic intake in fiscal years 2020 and 2021 to the upper years).
- \$2.0M increase in interest revenue attributable to the rising interest rates in the last year.
- \$2.1M increase in expendable donations to offset expenses incurred in compliance with donors' agreements.
- \$4.2M increase in other income due to the recovery of the ancillary services from the pandemic.
- These increases are offset by a \$4.3M decrease in provincial operating grants as the prior year included specific one-time only grants in support of virtual learning and educational technology growth.

**Expenses** increase is driven by:

- \$7.5M increase in salaries and benefits for faculty and staff, including new hires and annual salaries increases. Salaries and benefits which comprise over half of the total expenses of the University and are mostly tied to collective agreements, have consumed 85% of the \$8.7M year-over-year increase in revenues.
- \$7.6M increase in supplies and expenses as activities return to pre-pandemic levels with increases in travel, repairs & maintenance and promotional and public relations expenses such as convocation and university fair.

## **Statement of financial position**

The statement of financial position remains stable as at the end of the year with net assets increase of \$3.5M. Total net assets at \$119.1M are at their highest level since the inception of the University. Total unrestricted and internally restricted assets which represent the net expendable assets of the University remain strong, albeit less favourable than in the prior year as a result of the draw down of prior year reserves to fund new capital infrastructure.

**Assets** decrease of \$8.0M (or 1.5%) is attributable to:

- decrease of \$7.3M in cash and short-term investments relating to the capital injection in Regent Corporation. Cash and operating short-term investment balances remain stable at \$79.0M, of which 28% pertain to externally restricted expendable donations and research funds.
- decrease of \$5.6M in capital assets which is due to the net impact of accumulated amortization vs asset additions.

## **Statement of financial position (continued)**

**Liabilities** decrease of \$11.5M (or 2.7%) over the prior year is mainly driven by:

- \$11.2M in total debt repayment.
- \$4.2M decrease in deferred capital contributions and relates to the net impact between contribution amortization and new grants and donations received for capital projects.
- These decreases are offset by \$3.1M increase in revenues earned and deferred as these are not spent at the end of the year.

**Net Assets** increased in line with the net increase in assets and liabilities. Changes in “Invested in Capital Assets” and in “Internally Restricted Assets” reflect primarily the University’s investments in capital projects using operating funds and prior year reserves respectively. The funds in net assets are all supported by cash and restricted investments.

## **Internally Restricted Reserves**

In the current fiscal year, the University utilized \$11.3M of reserves for investment in the University’s capital infrastructure and in support of financial assistance to students. The ongoing tension between operating revenues and expenses and the necessary investments in new capital infrastructure in the current year have meant that there is minimal surplus fund available for future reserves. In the current year, the University is setting aside \$0.5M of additional reserves in compliance with faculty and student contractual obligations.

The University is aware of the need to replenish its reserves for future strategic initiatives and/or to mitigate unforeseen circumstances. We will continue to plan for these reserves in the University’s long-term forecast models.

## **Financial health ratios**

Pending implementation of a new financial accountability framework by the Ministry and adoption of a revised set of financial health ratios, we are reporting on the 5 financial indicators, together with their respective minimum thresholds, that were previously recommended by the Council of Ontario Universities (“COU”) in 2016.

With a small operating surplus in the current year, net income/loss ratio at 1.12% is below the minimum COU recommended threshold of 1.5%. Although net operating revenues and the primary reserve continue to be favorable and are above the minimum recommended threshold, these are less favourable than the prior year due to the decrease in current year operating surplus, coupled with a year-over-year deterioration in working capital.

## **Financial health ratios (continued)**

The University's debt ratios, as measured by the interest burden and viability ratios, have improved over the last years as the University pays back its debt obligations. They are not within the COU recommended minimum thresholds when the full debenture debt is included in the calculation. However, accounting for the impact of the debt funding by the Province (annual grant of \$13.5M which covers 80% of the debenture repayment), the University's normalized debt ratios fall within the minimum recommended thresholds (see Appendix 3).

Whilst the University ended the year with a surplus, Management continues to monitor closely the financial challenges that the University is currently facing and is looking at ways to address the tension between revenues and expenses as outlined in the April 2023 budget presentation.

### **FINANCIAL IMPLICATIONS:**

The primary purpose of this financial update is to report on the statement of financial position of the University for the fiscal year ending March 31, 2023. Maintaining a stable financial position is critical to Ontario Tech University's long-term financial sustainability.

### **COMPLIANCE WITH POLICY/LEGISLATION:**

These audited financial statements are prepared in compliance with generally accepted accounting principles for not-for-profit organizations.

### **MOTION FOR CONSIDERATION:**

*That pursuant to the recommendation of the Audit & Finance Committee, the Board of Governors hereby approves the 2022/23 audited financial statements and the 2022/23 internally restricted reserves, as presented.*

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### **SUPPORTING REFERENCE MATERIALS:**

- Appendix 1: Consolidated Financial Statements and Notes to Financial Statements
- Appendix 2: Internally Restricted Reserves
- Appendix 3: Financial Health Ratios
- Appendix 4: Detailed Analysis of Statement of Financial Position and Statement of Operations

**APPENDIX 1**

*Consolidated Financial Statements of*

**ONTARIO TECH UNIVERSITY**

*For the year ending March 31, 2023*

**ONTARIO TECH UNIVERSITY**  
**Consolidated Financial Statements**  
**Table of Contents**  
**For the year ended March 31, 2023**

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	<u>Page</u>
<b>Independent Auditor's Report</b>	
Consolidated Statement of Financial Position	1
Consolidated Statement of Operations	2
Consolidated Statement of Changes in Net Assets	3
Consolidated Statement of Cash Flows	4
Notes to the Consolidated Financial Statements	5-23

**ONTARIO TECH UNIVERSITY**  
**Consolidated Statement of Financial Position**  
**As at March 31, 2023**

	<u>March 31, 2023</u>	<u>March 31, 2022</u>
<b>Assets</b>		
Current assets:		
Cash and cash equivalents (Note 4)	62,176,383	69,225,462
Short-term investments (Note 5)	17,000,000	17,217,673
Grant receivable	9,287,216	9,108,026
Other accounts receivable (allowance for doubtful accounts - \$998,855; 2022 - \$992,542)	8,619,781	5,611,209
Prepaid expenses and deposits	2,684,901	2,158,816
Inventories	33,729	5,730
	<b>99,802,010</b>	<b>103,326,916</b>
Investments (Note 6)	33,435,346	33,522,655
Other investments (Note 7)	(1,007,713)	(754,223)
Other assets (Note 8)	2,975,239	2,473,577
Capital assets (Note 9)	398,222,231	403,863,908
Goodwill (Note 10)	973,421	-
<b>Total assets</b>	<b>534,400,534</b>	<b>542,432,833</b>
<b>Liabilities and Net Assets</b>		
Current Liabilities:		
Accounts payable and accrued liabilities (Notes 11 and 19)	30,576,509	30,488,090
Deferred revenue (Note 12)	35,326,367	32,173,944
Current portion of other long-term debt (Note 13)	753,626	3,533
Current portion of obligations under capital lease (Note 14)	434,644	1,012,088
Current portion of long-term debenture debt (Note 15)	7,916,146	7,436,364
Current portion of fair value of interest rate swap (Note 16)	712,000	691,000
	<b>75,719,292</b>	<b>71,805,019</b>
Other long-term debt (Note 13)	6,181,402	173,309
Long-term portion of obligations under capital lease (Note 14)	26,841,138	34,248,680
Long-term portion of debenture debt (Note 15)	129,205,318	137,121,464
Long-term portion of fair value of interest rate swap (Note 16)	20,958,242	22,853,319
Deferred capital contributions (Note 17)	156,391,888	160,590,853
	<b>415,297,280</b>	<b>426,792,644</b>
<b>Net Assets</b>		
Unrestricted	24,923,895	21,775,929
Invested in capital assets (Note 20)	48,827,828	39,733,297
Internally restricted (Note 21)	19,419,098	29,214,708
Endowments (Note 22)	25,932,432	24,916,255
	<b>119,103,254</b>	<b>115,640,189</b>
Contingencies and Contractual Commitments (Note 24)		
Guarantee (Note 25)		
Risk Disclosure (Note 26)		
<b>Total liabilities and Net Assets</b>	<b>534,400,534</b>	<b>542,432,833</b>

*See accompanying notes to the consolidated financial statements*

**ONTARIO TECH UNIVERSITY**  
**Consolidated Statement of Operations**  
**For the year ended March 31, 2023**

	<u>2023</u>	<u>2022</u>
<b>REVENUE</b>		
Grants - operating and research (Note 18)	81,352,666	85,688,273
Grants - debenture (Note 15)	13,500,000	13,500,000
Donations	3,739,149	1,591,041
Student tuition fees	90,699,135	87,108,687
Student ancillary fees	13,001,273	11,970,615
Revenues from purchased services (Note 19)	1,465,114	678,601
Other income	17,393,541	13,165,388
Amortization of deferred capital contributions	8,252,004	9,130,891
Interest revenue	3,175,838	1,130,188
Gain/(loss) on disposal of assets	4,540	(28,663)
Unrealized gain on interest rate swap	1,183,077	1,117,681
	<b>233,766,337</b>	<b>225,052,702</b>
<b>EXPENSES</b>		
Salaries and benefits	129,031,422	121,526,640
Student aid, financial assistance and awards	15,040,090	14,295,553
Supplies and expenses	34,436,301	26,814,442
Purchased services (Note 19)	12,977,223	12,990,749
Interest expense - debt obligations	12,780,736	12,884,913
Interest expense - other	191,729	147,928
Amortization of capital assets	22,029,875	22,999,905
Professional fees	1,284,069	1,315,028
Loss on termination of capital lease	2,121,527	-
Loss on other investments	253,490	564,684
Unrealized loss/(gain) on investments	1,011,882	(892,501)
	<b>231,158,344</b>	<b>212,647,341</b>
<b>Excess of revenue over expenses</b>	<b>2,607,993</b>	<b>12,405,361</b>

*See accompanying notes to the consolidated financial statements*

**ONTARIO TECH UNIVERSITY**  
**Consolidated Statement of Changes in Net Assets**  
**As at March 31, 2023**

	<u>Unrestricted</u>	<u>Invested in Capital Assets</u> (Note 20)	<u>Internally Restricted</u> (Note 21)	<u>Endowments</u> (Note 22)	<u>Total 2023</u>	<u>Total 2022</u>
<b>Balance - Beginning of Year</b>	\$ 21,775,929	\$ 39,733,297	\$ 29,214,708	\$ 24,916,255	\$ 115,640,189	\$ 102,781,176
Excess / (deficiency)						
Revenue over Expenses	16,385,864	(13,777,871)	-	-	2,607,993	12,405,361
Interfund Transfer - Endowment	-	-	(161,105)	161,105	-	-
Interfund Transfer	9,634,505	-	(9,634,505)	-	-	-
Investment in Capital Assets	(22,872,402)	22,872,402	-	-	-	-
Endowment Contributions	-	-	-	855,072	855,072	453,652
<b>Net changes during the year</b>	<b>3,147,967</b>	<b>9,094,531</b>	<b>(9,795,610)</b>	<b>1,016,177</b>	<b>3,463,065</b>	<b>12,859,013</b>
<b>Balance - End of Year</b>	<b>\$ 24,923,895</b>	<b>\$ 48,827,828</b>	<b>\$ 19,419,098</b>	<b>\$ 25,932,432</b>	<b>\$ 119,103,254</b>	<b>\$ 115,640,189</b>

*See accompanying notes to the consolidated financial statements*



**ONTARIO TECH UNIVERSITY**  
**Consolidated Statement of Cash Flows**  
**As at March 31, 2023**

	<u>March 31, 2023</u>	<u>March 31, 2022</u>
<b>NET INFLOW (OUTFLOW) OF CASH RELATED TO THE FOLLOWING ACTIVITIES</b>		
<b>OPERATING</b>		
Excess of revenue over expenses	\$ 2,607,993	\$ 12,405,361
Items not affecting cash:		
Amortization of capital assets	22,029,875	22,999,905
Amortization of deferred capital contributions	(8,252,004)	(9,130,891)
(Gain)/Loss on disposal of assets	(4,540)	28,663
Loss on the termination of the capital lease	2,121,527	-
Loss on other investments	253,490	564,684
Unrealized gain on interest rate swap	(1,183,077)	(1,117,681)
Unrealized loss/(gain) on investments	1,011,882	(892,501)
	<b>18,585,146</b>	<b>24,857,540</b>
<b>WORKING CAPITAL</b>		
Grant and other accounts receivable	(2,749,384)	3,282,910
Prepaid expenses and deposits	(526,085)	17,759
Inventories	(27,999)	(599)
Accounts payable and accrued liabilities	(398,365)	(2,507,142)
Deferred revenue	3,152,424	3,929,577
	<b>18,035,736</b>	<b>29,580,045</b>
<b>INVESTING</b>		
Purchase of capital assets	(12,707,155)	(20,885,403)
Proceeds on disposal of capital assets	173,970	(28,258)
Investments	(706,900)	(17,900,552)
Other Assets	(501,662)	(473,570)
Acquisition of Regent Corporation (Note 3)	(7,500,000)	-
	<b>(21,241,747)</b>	<b>(39,287,783)</b>
<b>FINANCING</b>		
Repayment of interest-rate swap	(691,000)	24,662,000
Repayment of long-term debt	(7,103,193)	(7,110,343)
Repayment of obligations under capital leases	(956,986)	(913,057)
Endowment contributions	855,072	453,652
Deferred capital contributions	4,053,039	8,713,877
	<b>(3,843,068)</b>	<b>25,806,129</b>
<b>NET CASH (OUTFLOW) / INFLOW</b>	<b>(7,049,079)</b>	<b>16,098,391</b>
<b>CASH &amp; CASH EQUIVALENTS BALANCE, BEGINNING OF YEAR</b>	<b>69,225,462</b>	<b>53,127,071</b>
<b>CASH &amp; CASH EQUIVALENTS BALANCE, END OF YEAR</b>	<b>\$ 62,176,383</b>	<b>\$ 69,225,462</b>
<b>SUPPLEMENTARY CASH FLOW INFORMATION</b>		
Interest paid	\$ 12,997,308	13,088,360

*See accompanying notes to the financial statements*

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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

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

On March 27, 2019, the University launched its brand name and now operates as “Ontario Tech University”.

## **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. Except for Ontario Tech Talent, these consolidated financial statements reflect the assets, liabilities, net assets, revenue and expenses of all the operations controlled by the University.

On March 10, 2020, Ontario Tech Talent was incorporated as a separate legal entity with a fiscal year ended March 31st. Its purpose is to provide students and new graduates with opportunities to enhance their job readiness skills and improve employment prospects, and also to help alumni and community members remain current in the ever-changing job market by providing reskilling and upskilling. Ontario Tech Talent is controlled by the University and its financial results to March 31, 2023 are accounted for using the equity method, whereby the investment is carried in the University’s financial statements initially at cost, and includes the share of earnings or loss.

On February 21, 2023, and pursuant to a share purchase agreement, the University acquired the share capital and control of the Regent Square Property Corporation (“Regent Corporation”) and its related property for cash consideration. The acquisition has been accounted for using the acquisition method, whereby the purchase price is allocated to the net assets acquired based on their fair values. The accounting policy choice to consolidate on an annual basis has been selected.

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.

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

Student fees are recognized as revenue when courses are provided.

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

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.

Life insurance policy donation which is owned by the University and for which it is the named beneficiary, is recognized as revenue at the cash surrender value in the year in which it is received, with adjustments each year thereafter in accordance with the policy cash surrender value increases.

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 or 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,

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

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.

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

Buildings and its components	15 – 40 years
Building renovations and major equipment	10 years
Leasehold improvements	over lease term
Parking	20 years
Furniture and fixtures	5 years
Laptops	4 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.

In accordance with Section 4433 “Tangible Assets Held by Not-for-Profit Organizations”, costs for the new Shawenjigewining Hall have been allocated to its separable component parts with differing estimated useful lives and amortized accordingly upon occupancy of the building in September 2021.

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

*(h) Goodwill and its impairment*

Goodwill is the excess of the consideration paid over the fair value of the acquired assets and assumed liabilities in a business combination. Goodwill is not amortized but rather tested for impairment at least annually.

*(i) 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.

*(j) Contributed goods and services*

The University receives a number of contributed goods and 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. Contributed goods for which fair value is measurable and would have otherwise been purchased for use in the normal course of operations, are recognized in the Consolidated Financial Statements.

*(k) 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. Items subject to such estimates and assumptions include the valuation of derivatives and the carrying value of capital assets. Actual results could differ from these estimates.

**2. RELATED PARTY TRANSACTION**

On September 1, 2010, the University entered into a capital lease arrangement on a property located at 55 Bond Street in downtown Oshawa with the Regent Corporation. Regent Corporation is a taxable entity registered with the Canada Revenue Agency.

On February 21, 2023, a series of financial transactions took place between the University and the Regent Corporation:

Pursuant to a share purchase agreement, the University acquired all of the share capital of the Regent Corporation and its related property for cash consideration. Consideration paid and the estimated fair value of the assets acquired and liabilities assumed are disclosed in Note 3.

The University surrendered its interest in the capital lease with Regent Corporation and the lease was terminated. The derecognition of the carrying value of the leased asset is disclosed in Note 9 and the lease termination is disclosed in Note 14.

Pursuant to a gift agreement, full beneficial ownership of the property was gifted by Regent Corporation to the University.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**3. ACQUISITION**

The following table summarizes the consideration paid and the estimated fair value of the assets acquired and liabilities assumed at the date of acquisition of the Regent Corporation by the University:

	<u>2023</u>
Assets acquired:	
Land	\$ 960,000
Buildings	12,040,000
Accounts receivable	438,378
Goodwill	973,421
Total assets acquired	<u>14,411,799</u>
Liabilities assumed:	
Accounts payable and accrued liabilities	486,784
Long-term debt	6,425,015
Total liabilities assumed	<u>6,911,799</u>
Net assets acquired	<u>\$ 7,500,000</u>
Total consideration is as follows:	
Cash consideration	<u>7,500,000</u>
	<u>\$ -</u>

**4. CASH AND CASH EQUIVALENTS**

	<u>2023</u>	<u>2022</u>
Bank of Montreal, cash balances	\$ 60,688,797	\$ 68,125,699
BMO Nesbitt Burns high interest savings account	10	-
Royal Bank of Canada, cash balances	425,049	364,722
Harris Bank, cash balances (draws)	(11,601)	251,334
Other, balances	1,074,128	483,707
	<u>\$ 62,176,383</u>	<u>\$ 69,225,462</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, 2023, the University utilized, on a cash consolidated basis, nil (2022 - nil) of the operating line of credit.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**5. SHORT-TERM INVESTMENTS**

Short-term investments consist of \$17,000,000 (2022 – \$17,217,673) of annual Guaranteed Investment Certificates (GIC's), which mature on March 30, 2024.

**6. INVESTMENTS**

	2023		2022	
	Cost	Fair Value	Cost	Fair Value
Equities	\$ 18,101,986	\$ 22,245,338	\$ 17,531,636	\$ 22,382,352
Fixed income	11,858,967	10,973,700	11,397,462	10,863,060
Money Market/Cash	216,308	216,308	277,243	277,243
	<b>\$ 30,177,261</b>	<b>\$ 33,435,346</b>	<b>\$ 29,206,341</b>	<b>\$ 33,522,655</b>

Financial instrument risks are disclosed in Note 26, under “Financial instrument risks”.

**7. OTHER INVESTMENTS**

Other investments comprise of a wholly owned investment in Ontario Tech Talent. Investment as at March 31, 2023 is a loss of \$1,007,713 (2022 – \$754,223) which includes the initial investment in Ontario Tech Talent of 100 shares valued at \$100, net of accumulated loss of \$1,007,813 (2022 – \$754,323).

Financial information from Ontario Tech Talent’s financial statements are as follows:

	2023	2022
Total assets	\$ 394,434	\$ 131,623
Total liabilities	1,402,147	885,846
Shareholders' equity		
- 100 common shares	100	100
- Net accumulated loss	(1,007,813)	(754,323)
	<b>\$ 394,434</b>	<b>\$ 131,623</b>
Results of operations:		
Total revenue	811,580	87,539
Total expenses	1,065,070	652,223
Net loss for the year	<b>\$ (253,490)</b>	<b>\$ (564,684)</b>

Included in the total liabilities of Ontario Tech Talent is a related party transaction of \$1,268,676 (2022 – \$823,013), representing the draw of a credit facility with the University to fund the start-up and operating costs of Ontario Tech Talent. Interest on this credit facility is at prime rate plus 0.25%, and there are no fixed terms of repayment.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

**8. OTHER ASSETS**

Included under Other assets is the donation of a life insurance policy the University received in July 2020. This policy, for which the University is the named beneficiary, is recorded at the current cash surrender value of \$1,706,563 (2022 - \$1,650,564). Other assets also include \$1,268,676 (2022 - \$823,013) of a receivable from its subsidiary, Ontario Tech Talent.

**9. CAPITAL ASSETS**

Capital assets consist of:

	2023			2022
	Cost	Accumulated Amortization	Net Book Value	Net Book Value
Land	\$ 12,805,864	\$ -	\$ 12,805,864	\$ 10,286,815
Buildings & its components	480,347,021	165,832,073	314,514,948	296,781,843
Building renovations	38,760,857	26,010,663	12,750,194	27,605,417
Leasehold improvements	2,910,946	1,353,014	1,557,932	1,630,097
Parking	1,395,444	377,131	1,018,313	989,650
Furniture and fixtures	22,659,983	19,724,553	2,935,430	3,175,893
Laptops	3,871,223	2,817,530	1,053,693	606,526
Vehicles	390,777	274,294	116,483	6,750
Computer equipment	25,045,965	22,228,014	2,817,951	2,830,741
Major equipment	102,253,698	74,021,775	28,231,923	29,117,023
Construction-in-progress	5,399	-	5,399	610,222
	<u>\$ 690,447,177</u>	<u>\$ 312,639,047</u>	<u>\$ 377,808,130</u>	<u>\$ 373,640,977</u>
Assets under capital leases:				
Land	2,300,000	-	2,300,000	2,300,000
Buildings	24,152,135	6,038,034	18,114,101	27,922,931
Total	<u>\$ 716,899,312</u>	<u>\$ 318,677,081</u>	<u>\$ 398,222,231</u>	<u>\$ 403,863,908</u>

Donated assets other than non-depreciables, such as land, are amortized as per note 1(g) under Significant accounting policies and disclosures.



**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**9. CAPITAL ASSETS (continued)**

Included in the asset schedule are:

- land and buildings acquired and stated at fair market value (land: \$960,000 and buildings: \$12,040,000) upon the acquisition of control of the Regent Corporation.
- The derecognition of buildings at net book value of \$9,149,527 (cost: \$11,537,057 and accumulated amortization: \$2,387,530) under “Assets under capital leases” upon the surrender of the University’s interest in the lease with the Regent Corporation. The derecognition of capital assets under capital leases resulted in a net loss of \$2,121,527.

Amortization of assets under capital leases for the current year totaled \$659,303 (2022 - \$675,327).

**10. GOODWILL**

Goodwill of \$973,421 has been recorded by the University upon the acquisition of control of the Regent Corporation and represents the excess of the purchase price over the fair market value of Regent Corporation’s net assets.

**11. ACCOUNTS PAYABLE AND ACCRUED LIABILITIES**

Included in accounts payable and accrued liabilities are government remittances payable of \$3,492,662 (2022 – \$3,401,716).

**12. DEFERRED REVENUE**

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

	<u>2023</u>	<u>2022</u>
Tuition	\$ 9,732,149	\$ 9,420,307
Research	14,045,753	12,571,734
Donations	3,502,180	4,675,598
Ancillary fees	2,003,658	1,654,572
Other	6,042,627	3,851,733
	<u>\$ 35,326,367</u>	<u>\$ 32,173,944</u>

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**13. OTHER LONG-TERM DEBT**

The University has incurred debts in the amount of \$6,935,027 through third parties related to leasehold improvements, equipment financing and a property in downtown Oshawa. Other long-term debt comprised the following:

	<u>2023</u>	<u>2022</u>
Unsecured loan for leasehold improvements in downtown Oshawa, repayable monthly at 9.3% interest per annum, with final instalment due April 30, 2041	<b>173,310</b>	176,842
Unsecured loan for ACE equipment, repayable monthly at 9.8% interest per annum, with final instalment due September 1, 2025	<b>385,391</b>	-
Secured loan for property at 55 Bond, repayable monthly at 7.1% interest per annum with final instalment due September 1, 2030	<b>6,376,327</b>	-
	<u>\$ 6,935,028</u>	<u>\$ 176,842</u>

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

2024	\$ 753,626
2025	812,539
2026	830,651
2027	862,932
2028	925,326
Thereafter, through 2042	2,749,954
	<u>6,935,028</u>
Less: current portion	753,626
	<u>\$ 6,181,402</u>

The fair value of the other long-term debt is approximately \$7,149,000 (2022 - \$245,000). 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.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**14. OBLIGATIONS UNDER CAPITAL LEASES**

In fiscal year 2010/11, the University entered into capital leasing arrangements on two properties in downtown Oshawa to accommodate the growth in student population. On February 21, 2023, and upon the acquisition of control of Regent Corporation, the capital lease on one of the properties, with net remaining obligation of \$7,028,000, was terminated.

Capital lease repayments are due as follows:

2024	\$ 2,870,799
2025	2,899,712
2026	2,928,915
2027	2,958,409
2028	2,988,198
Thereafter, through 2041	41,980,957
<u>Total minimum lease payments</u>	<u>56,626,990</u>
<u>Less: amount representing interest at 9.30%</u>	<u>29,351,208</u>
Present value of net minimum capital lease payments	27,275,782
<u>Less: current portion of principal obligation</u>	<u>434,644</u>
	<u>\$ 26,841,138</u>

Interest of \$2,910,063 (2022 - \$3,018,819) relating to capital lease obligations has been included in interest expense – debt obligations on the consolidated statement of operations. The total cost of assets under capital leases is \$26,452,135 (2022 - \$37,989,192) with related accumulated amortization of \$6,038,034 (2022 - \$7,766,261).

The fair value of the capital leases is approximately \$27,806,000 (2022 - \$35,694,000). 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.

**15. 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 Colleges and Universities (“MCU” or “the Ministry”), and by the University’s operating funds.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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

On August 12, 2011, an agreement was signed between the University and MCU 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, 2023 is \$297,018,105 (2022 - \$280,517,100), \$236,987,712 funded by MCU and \$60,030,393 funded by the University.

As at March 31, 2023, \$217,431,043 (2022 - \$217,431,043) had been used to finance capital assets.

Total principal repayments for debenture debt are as follows:

2024	7,916,146
2025	8,426,883
2026	8,970,572
2027	9,549,338
2028	10,165,446
Thereafter, through 2034	92,093,079
Total minimum payments	137,121,464
Less: current portion	7,916,146
	<u>\$ 129,205,318</u>

The fair value of the long-term debenture debt is approximately \$150,466,000 (2022 - \$162,246,000). 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.

**16. DERIVATIVE FINANCIAL INSTRUMENTS**

On September 29, 2021, the University entered into an unsecured interest rate swap agreement with RBC for the long-term financing of the Shawenjigewining Hall. This agreement expires on September 28, 2046. Under the terms of the agreement, the University agrees with the counterparty to exchange, at specified intervals and for a specified period, its floating interest calculated on the notional principal amount of each loan for a fixed rate of 2.59%. The use of the swap effectively enables the University to convert the floating rate interest obligation of the loan into a fixed rate obligation, and thus manages its exposure to interest rate risk.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**16. DERIVATIVE FINANCIAL INSTRUMENTS (continued)**

The fair value of the derivative liability is as follows:

	<u>2023</u>		<u>2022</u>
Interest rate swap	21,670,242	\$	23,544,319
Less: current portion	712,000		691,000
	<u>\$ 20,958,242</u>	<u>\$</u>	<u>22,853,319</u>

**17. DEFERRED CAPITAL CONTRIBUTIONS**

Deferred capital contributions represent the unamortized amount of contributions, including grants and donations, for the investment in capital assets.

On October 30, 2020, the University signed an agreement with the Ontario Tech Student Union (OTSU), whereby the OTSU will pay the University a one-time fee of \$5,000,000 for the construction, use and occupation of the licensed areas in the new Shawenjigewining Hall. In 2020 and 2021, the OTSU transferred \$4,500,000 to the University, with the remaining \$500,000 transferred in the current fiscal year. This fee is included in the consolidated financial statements as a deferred capital contribution as the funding is directed to financing the construction.

The changes in the balance consist of the following:

	<u>2023</u>		<u>2022</u>
Balance - beginning of year	\$ 160,590,853	\$	161,007,867
Contributions	4,053,039		8,713,877
Recognized as revenue during the year	(8,252,004)		(9,130,891)
Balance - end of year	<u>\$ 156,391,888</u>	<u>\$</u>	<u>160,590,853</u>

**18. GRANT REVENUES – OPERATING AND RESEARCH**

Grant revenues consist of the following:

	<u>2023</u>		<u>2022</u>
Operating	\$ 65,817,279	\$	70,670,809
Externally funded research	15,535,387		15,017,464
Total grant revenues	<u>\$ 81,352,666</u>	<u>\$</u>	<u>85,688,273</u>

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**19. 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.

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

Shared services are paid by a standing monthly instalment to Durham College, with a final true-up and settlement in April following the end of the fiscal year.

**20. INVESTED IN CAPITAL ASSETS**

Investment in capital assets represents the following:

	<u>2023</u>	<u>2022</u>
Capital assets - net book value	\$ 398,222,231	\$ 403,863,908
Less amount financed by deferred capital contributions	(156,391,888)	(160,590,853)
Less amount financed by long-term debt (Notes 13, 14, 15 and 16)	(193,002,515)	(203,539,758)
<b>Total investment in capital assets</b>	<b>\$ 48,827,828</b>	<b>\$ 39,733,297</b>

	<u>2023</u>	<u>2022</u>
<b>Net change in investment in capital assets:</b>		
Purchase of capital assets	\$ 25,707,155	\$ 20,885,403
Assets disposed under capital lease termination	(9,149,527)	-
Lease obligation termination	7,028,000	-
Amounts funded by:		
Deferred capital contributions	(4,053,039)	(8,713,877)
Long-term debt	(6,761,719)	(23,544,319)
Repayment of long-term debt	10,101,532	7,901,530
	<b>\$ 22,872,402</b>	<b>\$ (3,471,263)</b>

	<u>2023</u>	<u>2022</u>
Amortization of deferred capital contributions related to capital assets	\$ 8,252,004	\$ 9,130,891
Less amortization of capital assets	(22,029,875)	(22,999,905)
	<b>\$ (13,777,871)</b>	<b>\$ (13,869,014)</b>
<b>Net change during the year</b>	<b>\$ 9,094,531</b>	<b>\$ (17,340,277)</b>

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**21. INTERNALLY RESTRICTED NET ASSETS**

Internally restricted net assets represent unspent funds which have been committed for specific purposes, including the appropriation of internally-funded research and to invest in the University's academic priorities, working capital, facilities, information technology 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>2023</u>	<u>2022</u>
Balance is comprised of the following:		
Research funds (a)	\$ 6,414,309	\$ 6,151,175
Capital projects (b)	227,976	4,923,974
Student assistance and related funds (c)	2,828,606	4,018,927
Working capital (d)	6,000,000	6,000,000
Learning re-imagined (e)	2,620,632	3,370,632
Digital and physical infrastructure re-imagined (f)	1,327,575	2,750,000
One-time only budget allocations (g)	-	2,000,000
	<u>\$ 19,419,098</u>	<u>\$ 29,214,708</u>

- (a) Research funds represent unspent start-up and professional development funds of individual members funded by Operations, and as provided by their collective agreement.
- (b) Capital projects represent internally restricted funds for university-wide and ancillary operations, in support of deferred maintenance, renovations and capital projects.
- (c) Student assistance and related funds includes the unspent operating funds and expendable portion of unrestricted donations in support of financial assistance to students. It also includes unspent student fees such as the athletic fee and the student services fee.
- (d) Working capital represents internally restricted funds set aside to improve the financial sustainability of the University, as mandated by the Ministry.
- (e) Learning re-imagined represents amounts which have been allocated in support of the academic plan and to enhance the "pedagogy-technology" interface with the aim of providing skilled support for our students, staff and faculty. It also includes recruitment and student success initiatives.
- (f) Digital and physical infrastructure re-imagined are funds restricted to enhance the virtual and physical campus.
- (g) One-time only budget allocations approved for specific initiatives. For 2022, funds were reserved for IT equipment and construction projects that were delayed to 2023 due to supply chain issues associated with the pandemic.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**22. 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 Ministry announced that the OTSS would be discontinued as of the end of Fiscal 2012 fundraising year.

The balance of endowments consists of the following:

	<u>2023</u>	<u>2022</u>
OSOTF	\$ 2,002,179	\$ 1,997,945
OTSS	18,726,174	18,020,883
OSOTF and OTSS	<u>20,728,353</u>	<u>20,018,828</u>
Other	5,204,080	4,897,427
	<u>\$ 25,932,433</u>	<u>\$ 24,916,255</u>

The change in the balance of endowments is as follows:

	<u>2023</u>	<u>2022</u>
Endowment fund balance, beginning of year	\$ 24,916,255	\$ 24,350,300
Donations	642,409	436,354
Realized gains	104,170	267,814
Realized investment income	776,409	580,277
Income distributions	<u>(506,810)</u>	<u>(718,490)</u>
Endowment fund balance, end of year	<u>\$ 25,932,433</u>	<u>\$ 24,916,255</u>



**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

**22. ENDOWMENTS (continued)**

As per the Ministry policies, the transactions related to OSOTF and OTTS should be presented in these financial statements, for the year ended March 31, 2023.

	<b>OSOTF</b>	<b>OTTS</b>	<b>Total 2023</b>	<b>Total 2022</b>
<b>Schedule of Changes in Endowment Fund Balance</b>				
Endowment balance, beginning of year	\$ 1,737,973	\$ 16,581,868	\$ 18,319,841	\$ 17,435,856
Eligible cash donations	-	440,477	440,477	112,354
Preservation of capital	75,000	822,085	897,085	771,631
Endowment fund balance, end of year	<b>\$ 1,812,973</b>	<b>\$ 17,844,430</b>	<b>\$ 19,657,403</b>	<b>\$ 18,319,841</b>

**Schedule of Changes in Expendable Funds**

<b>Available for Awards</b>	<b>OSOTF</b>	<b>OTTS</b>	<b>Total 2023</b>	<b>Total 2022</b>
Expendable balance, beginning of year	\$ 259,972	\$ 1,439,015	\$ 1,698,987	\$ 2,393,509
Realized investment income	59,235	661,623	720,858	699,099
Less: Preservation of capital	(75,000)	(822,085)	(897,085)	(771,631)
Bursaries and awards disbursed	(55,000)	(396,810)	(451,810)	(621,990)
Expendable balance, end of year	<b>\$ 189,207</b>	<b>\$ 881,743</b>	<b>\$ 1,070,950</b>	<b>\$ 1,698,987</b>
Total funds, end of year	<b>\$ 2,002,180</b>	<b>\$ 18,726,173</b>	<b>\$ 20,728,353</b>	<b>\$ 20,018,828</b>

In the current year, 375 bursaries and awards were disbursed, of which \$506,810 was from the total endowed funds and \$168,800 from operating funds (2022 – 411 bursaries and awards valued at \$718,490).

**23. PENSION PLAN**

All eligible employees of the University are members of a defined contribution pension plan. Contributions made by the University to the pension plan during the year were \$7,948,330 (2022 - \$7,173,675).

**24. 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 actions that are not determinable as at March 31, 2023 have not been recorded in these consolidated financial statements.

**ONTARIO TECH UNIVERSITY**  
**Notes to the Consolidated Financial Statements**  
**For the year ended March 31, 2023**

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**24. CONTINGENCIES AND CONTRACTUAL COMMITMENTS (continued)**

*(b) Contractual Commitments*

Future minimum lease payments, exclusive of taxes and operating costs, for premises and equipment under operating leases at March 31, 2023 are as follows:

2024	\$	969,320
2025		969,320
2026		979,762
2027		987,220
2028		471,903
Thereafter		285,505
	\$	<u>4,663,030</u>

*(c) Other*

On July 24, 2020, the University entered into a land exchange agreement with the City of Oshawa (“the City”). The appraised fair market value of the City property is \$6,250,000 and that of the University was \$4,365,000. As per the agreement, the University agrees and warrants that after closing, it shall be restricted from conveying any part of the City Property to any third party without first offering to the City for the nominal sum of Two Dollars (\$2.00) on an “AS IS, WHERE IS” basis.

On March 15, 2023, a letter of credit in the amount of \$158,940 was issued on behalf of the University to the Province of Ontario. This letter of credit represents the obligations of the University to be incurred under the Land Transfer Tax Act with regards to the donation of property from Regent Corporation to the University.

**25. GUARANTEE**

On October 30, 2020, the University signed a license agreement with OTSU, whereby the OTSU will pay the University a one-time license fee of \$5,000,000 for the use and occupation of the licensed areas in the new Shawenjigewining Hall. Under this agreement, both parties agree and confirm that the University will provide a guarantee of the OTSU’s obligations under a loan of a principal amount of up to a maximum of \$3,500,000 which was obtained by OTSU to complete the transactions in the license agreement.

On February 21, 2023, Regent Corporation signed an amended credit agreement with Sun Life Assurance Company of Canada and the University, with the latter acting as guarantor on the mortgage assumed upon acquisition of control of Regent Corporation by the University.

## **26. FINANCIAL INSTRUMENT RISKS**

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

The value of fixed income securities will generally increase if interest rates fall and decrease if interest rates rise. Changes in interest rates may also affect the value of equity securities. The fixed income investments consist of pooled funds that include various Canadian government and corporate bonds and individual mortgage holdings. The fixed income investments bear coupon rates ranging from 0.0% to 13.6% (2022 – 0.0% to 13.9%) and have maturity dates ranging from April 1, 2023 to December 31, 2099 (2022 - April 1, 2022 to December 31, 2099).

Credit risk refers to the risk that a counterparty may default on its contractual obligations, resulting in a financial loss. The University is exposed to credit risk with respect to investments and accounts receivable. The University assesses, on a continuous basis, accounts receivable and provides for any amounts that are not collectible in the allowance for doubtful accounts.

The University is also exposed to interest rate risk on its fixed and floating interest financial instruments. Fixed-interest instruments subject the University to a fair value risk while the floating-rate instruments subject it to a cash flow risk.

The University mitigates interest rate risk on its term debt through derivative financial instruments (interest rate swaps) that exchange the variable rate inherent in the term debt for a fixed rate. Therefore, fluctuations in market interest rates will not impact future cash flows and operations relating to the term debt. There have been no changes in interest rate risk exposure as compared to the prior year.

### *(b) Foreign currency risk*

The University is exposed to financial risks as a result of exchange rate fluctuations and the volatility of these rates. The University, through its investment management advisors, hedges against foreign exchange risks. There has been no change in the University's hedging policy from 2022..

### *(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. The University manages this risk through policies and procedures in place governing asset mix, equity and fixed income allocations, and diversification among and within categories.

### *(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 market, and can be readily liquidated at amounts close to their fair value in order to meet liquidity requirements.

**27. COMPARATIVE INFORMATION**

Certain comparative information has been reclassified to conform with the financial statement presentation adopted in the current year.

**APPENDIX 2**

**ONTARIO TECH UNIVERSITY**

**SUMMARY OF INTERNALLY RESTRICTED RESERVES FOR THE YEAR ENDED MARCH 31, 2023 (\$ 000'S)**

Internally restricted assets	Opening balance as at April 1, 2022	2022/23				Closing balance
		Additional reserves from donations	Reserves reallocated	Reserves utilized	Proposed Reserves (per contractual obligation)	
Research funds (a)	(6,151)		0	0	(263)	(6,414)
Capital projects (b)	(4,924)	(1,003)	(4,448)	10,200	(53)	(228)
Student assistance and related funds (c)	(4,019)		275	1,053	(138)	(2,829)
Working Capital (d)	(6,000)		0	0	0	(6,000)
Learning re-imagined (e)	(3,371)		750	0	0	(2,621)
Digital and physical infrastructure re-imagined (f)	(2,750)		1,423	0	0	(1,327)
One-time only budget allocations (g)	(2,000)		2,000	0	0	0
<b>Total internally restricted assets</b>	<b>(29,215)</b>	<b>(1,003)</b>	<b>0</b>	<b>11,253</b>	<b>(454)</b>	<b>(19,419)</b>

- (a) Research funds represent unspent start-up and professional development funds of individual members funded by Operations, and as provided by their collective agreement.
- (b) Capital projects represent internally restricted funds for university-wide and ancillary operations, in support of deferred maintenance, renovations and capital projects.
- (c) Student assistance and related funds include the unspent operating funds and expendable portion of unrestricted donations in support of financial assistance to students. It also includes unspent student fees such as the athletic fee and the student services fee.
- (d) Working capital represents internally restricted funds set aside to improve the financial sustainability of the University, as mandated by the Ministry.
- (e) Learning re-imagined represents amounts which have been allocated in support of the academic plan and to enhance the “pedagogy-technology” interface with the aim of providing skilled support for our students, staff and faculty. It also includes recruitment and student success initiatives.
- (f) Digital and physical infrastructure re-imagined are funds restricted to enhance the virtual and physical campus.
- (g) One-time only budget allocations approved for specific initiatives. For 2022, funds have been reserved for IT equipment and renovation projects that have been delayed to 2023 due to supply chain issues associated with the pandemic.

### APPENDIX 3

#### FINANCIAL HEALTH INDICATORS

The Council of Ontario Universities (“COU”) had recommended 5 financial health indicators to the Ministry, together with minimum thresholds, to assist with assessing university financial health and sustainability. Thresholds will provide early signals to the health of the institution and help support the development of plans to address financial challenges.

The table below shows COU recommended minimum threshold, Ontario Tech University’s 3-year average metrics and those for the last 2 fiscal years. Also included are the average comparator and average sector metrics for fiscal year 2020/21 (latest published data). The average comparator includes the data for the “small” universities based on student FTE (‘Full-time equivalents’), and includes seven universities: Algoma, Lakehead, Laurentian, Nipissing, OCADU, Trent and Ontario Tech University.

Financial Metrics	Minimum threshold	Ontario Tech Actual			Average comparator	Average sector
		3-year average	2022/23	2021/22	2020/21	2020/21
Financial Ratios						
(1) Net Income/Loss Ratio	1.5%	4.6%	1.1%	5.5%	0.0%	4.9%
(2) Net Operating Revenues Ratio	2.0%	12.2%	7.7%	13.1%	24.5%	19.0%
(3) Primary Reserve Ratio (days)	30	65	70	87	45	145
(4) Interest Burden Ratio ("IBR")	5.0%	6.7%	6.1%	6.8%	2.5%	2.0%
Normalized* IBR		2.6%	2.4%	2.8%		
(5) Viability Ratio ("VR")	30.0%	18.4%	24.2%	26.2%	33.1%	151.7%
Normalized* VR		49.6%	55.5%	60.2%		

Normalized\* ratios account for the \$13.5M annual debenture funding by the Province. This funding covers 80% of the annual debenture debt repayment.

Ratios are favourable if they are at or **above** minimum threshold, except for the **interest burden ratio** where we would want to be at or **below** the recommended minimum threshold.

Therefore, ratios highlighted in green fall within the minimum recommended threshold. Ratios highlighted in yellow do not meet the minimum threshold requirements.

## Financial health indicator analysis

### 1. The Net Income / Loss ratio tracks the trend in the University's net earnings.

This ratio for the year at 1.1% is below the recommended minimum threshold due to the minimal operating surplus as a result of expenses outpacing revenue growth, coupled with the recognition of a loss incurred upon the termination of the lease with Regent Corporation.

The 3-year average at 4.6% is above the recommended minimum threshold of 1.5%.

## FINANCIAL HEALTH INDICATORS (continued)

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

This ratio continues to be positive and reflects the University's slight operating surplus, coupled with a stable positive working capital at the end of the fiscal year. The current year ratio at 7.7% and 3-year average of 12.2% are above the recommended minimum threshold of 2%.

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

Primary reserve ratio continues to be positive but less favourable than the prior year due to the decrease in net expendable assets attributable to the drawdown of internally restricted reserves to fund new capital infrastructure during the fiscal year. Current year at 70 days and 3-year average primary reserve ratio at 65 are above the minimum threshold of 30 days.

### 4. Interest Burden ratio indicates the University's debt affordability and the cost of servicing debt.

The interest ratio continues to improve over the years as the University continues to pay back its debt obligations. Due to its relatively high debt obligations (\$193.0M outstanding debt at March 31, 2023), the current year ratio at 6.1% and 3-year average at 6.7% does not meet the minimum threshold of 5%.

The normalized IBR, which accounts for the \$13.5M provincial funding of the debenture, falls within the minimum threshold for both the current year and the 3-year average.

### 5. Viability ratio determines Ontario Tech University's financial health, as it indicates the funds on hand to settle its long-term obligations. Current year ratio at 24.2% continues to be below the recommended minimum threshold of 30% due to the University's high debt commitments. Viability ratio decreased over last year due to the decrease in net expendable assets at the end of the fiscal year.

The normalized VR, which accounts for the \$13.5M provincial funding of the debenture. are above the minimum recommended threshold of 30% for both the current year and the 3-year average.

## FINANCIAL HEALTH INDICATORS (continued)

### DEFINITIONS

#### (1) Net Income/Loss Ratio

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

*Measures the percentage of revenues that contribute to net assets. The objective is to track trends in net earnings*

#### (2) Net Operating Revenues Ratio

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

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

#### (3) Primary Reserve Ratio

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

*Indicates the University's financial strength and flexibility by determining the number of days it 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.*

#### (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 the University's cost of servicing debt*

#### (5) Viability Ratio

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

*Determines 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.*



## APPENDIX 4

### CONSOLIDATED FINANCIAL STATEMENTS DETAILED ANALYSIS

#### **Consolidated Statement of Financial Position**

##### **Assets**

**Cash and short-term investments** decrease of \$7.3M over the prior year is mainly attributable to a \$7.5M operating investment for the acquisition of the Regent Corporation and its real estate located at 55 Bond Street on Feb 21, 2023.

**Grant receivable** balance of \$9.3M includes \$5.6M of 22/23 Collaborative Nursing (CN) grant funded on a slip-year basis and therefore to be received in 23/24, \$1.7M of 21/22 CN grant rec'd after year-end on April 28<sup>th</sup>, \$1.3M of external research grants, and \$0.7M operating grants, all of which are current.

**Other accounts receivable** (A/R) includes student and trade receivables. Balance of \$8.6M includes \$4.0M of student A/R, other current receivables including \$3.5M trade, research and ACE receivables, \$1.8M of sales tax recoverable of which \$1.4M pertains to the rebate on the sales tax arising upon the donation of 55 Bond to the University, \$1.0M of application fees receivable, offset by \$1.0M provision in student bad debt, and other balances, none exceeding \$0.5M. Against \$4.0M of student A/R is \$2.6M of unapplied credits which are disclosed in "Accounts Payables and Accrued Liabilities".

Other accounts receivable increase of \$3.0M includes \$1.3M of sales tax recoverable, and \$1.0M of application fees received in April 2023 (v/s PY's application fees which were received in-year) and other variances, none of which exceeds \$0.5M.

**Investment** balance of \$33.4M relates to endowed funds held at PH&N. The year-over-year decrease is comprised of \$1.0M mark-to-market unrealized loss due to the deterioration of both the bond and equity market in the last year, \$0.5M bursary and award disbursements to students, offset by \$0.7M new in-year donations and \$0.7M net investment income and realized gains.

**Other investments** represent the investment in Ontario Tech Talent in the current year, and includes the original investment of 100 common shares (valued at \$100), net of accumulated loss to date of \$1.0M.

**Other assets** of \$3.0M include \$1.7M of a life insurance policy for which the University is the named beneficiary and \$1.3M of related party loan advanced to fund the operating costs of Ontario Tech Talent.

**Capital assets** decrease of \$5.6M includes net asset additions of \$3.0M (\$25.7M additions less \$22.7M disposals), offset by accumulated amortization of \$8.6M in the current year.

Significant additions comprise of \$12.0M building and \$2.5M land acquired at fair market value from Regent Corporation, \$4.2M building renovations, \$3.3M of major equipment and \$3.0M of computer equipment, laptops and furniture and fixtures. Disposals include \$11.5M building as a result of the termination of the capital lease at 55 Bond, and \$10.0M of old student laptops dating back to 2008 and 2009 (NBV =0).

**Goodwill** of \$1.0M was recorded and represents the excess of the purchase price over the fair market value of the Regent's net assets upon the acquisition of control of the Regent by the University.

## **Liabilities**

**Accounts payable and accrued liabilities** balance of \$30.6M includes \$4.6M of trade payables, \$4.0M of payroll deductions paid in April 2023, \$2.6M vacation accruals, \$4.0M of debenture interest payable due April 15<sup>th</sup>, \$2.6M of student unapplied credits, \$2.7M due to Durham College for purchased services of which \$1.6M is due and paid in April 2023 net \$2.4M of student ancillary fees held in trust and other variances none exceeding \$1.0M.

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

Balance of \$35.3M comprises \$9.7M deferred tuition representing one month of winter term fees not earned at year-end, and \$25.6M of revenues billed or received and not yet spent at the end of fiscal (\$14.0M of externally funded research grants, \$3.5M of expendable donations, \$2.0M of student ancillary fees, and \$6.1M of miscellaneous deferred revenues).

Increase of \$3.2M in deferred revenue includes \$2.8M of “Brilliant SUV program” unspent revenues, \$1.5M of research revenue mostly attributable to new Tri-agency grants, offset by \$0.8M of prior year deferred grants recognized in the current year, and other variances none of which exceeds \$0.5M.

**Current and other long-term debt** increase of \$6.8M over the prior year includes a new \$6.7M debt further to the acquisition of control of the Regent Corporation and its real estate. This new debt is offset by a decrease in capital lease obligation of \$7.0M as a result of the derecognition of the lease at 55 Bond (see below under capital lease).

**Current and long-term obligations under capital lease** decrease of \$8.0M includes \$1.0M principal lease repayment for 61 Charles and \$7.0M pertaining to the derecognition of the lease at 55 Bond.

**Current and long-term debenture debt** decrease of \$7.4M relates to the principal repayment and resulting drawdown of the debt in the current year. This debt is fully payable in October 2034.

**Current and long-term fair value of interest rate swap** relates to a new financial derivative entered into for the financing of the Shawenjigewining Hall. The notional amount of the swap is \$25.0M, and is fully repayable in September 2046.

**Deferred capital contributions** decrease of \$4.2M includes grants and donations of \$4.0M received for capital projects during the fiscal year, offset by \$8.2M amortization into revenues of capital grants and donations received since inception of the University.

New grants and donations received include \$3.0M grant for campus renovations and lab equipment, \$0.5M contribution from the University Student Union for the utilization of space in the new Shawenjigewining Hall and \$0.5M donation for building construction.

## Statement of Operations

### Revenue

Significant revenue variances include:

**Operating and research grant** decreased \$4.3M as the prior year included \$4.9M of specific one-time only operating grants (i.e. \$2.6M in new e-campus grant in support of virtual learning and educational technology growth, \$2.3M for student work placement program) and a decrease of \$0.9M in external research grants. These decreases are offset by \$1.4M in research grants for the ACE Project Arrow to build Canada's first zero-emission concept electric vehicle, \$0.9M additional grant for Nursing clinical education and other variances, none of which exceeds \$0.5M.

**Donations** for the purposes other than endowment are deferred and recognized as revenue in the year in which the related expenses are incurred. Donation revenue of \$3.7M relates to expendable donations recognized in the current year, e.g. awards disbursed to students and funds used to cover specific projects, in compliance with donor agreements.

The increase of \$2.1M includes \$1.4M increase in specific project costs recognized in the current year and \$0.5M increase in award disbursements.

**Student tuition fees** increase of \$3.6M includes \$5.3M in international tuition revenues of which \$1.5M is due to the increase in enrolment and \$3.8M due to the year-over-year increase in the average international tuition fees, offset by a net decrease of \$1.1M in domestic tuition revenues due to a decrease in enrolment and decrease \$0.6M attributable to increased nursing allocation to Durham College under the collaborative nursing program.

**Student ancillary fees** increase of \$1.0M includes \$0.4M for the accounting recognition of prior year fees to cover for roof repairs at the Arena, \$0.3M increase of fees recognized due to higher expenses incurred, with remaining increase attributable to year-over-year increase in ancillary fees.

**Revenue from purchased services** increased \$0.8M and is mostly due to the increase in parking revenues associated with the return to campus.

**Other income** increase of \$4.2M over the prior year is due to the recovery of the ancillary services associated with the return to campus (\$1.5M food services, \$0.6M in Regent theater revenues, \$0.6M field rentals and summer camps, \$0.5M ACE) and \$0.8M revenues from the "Start-Up Visa", a federal-run program that gives entrepreneurs the opportunity to immigrate to Canada in order to establish new innovative businesses.

**Amortization of deferred capital contributions** decreased \$0.9M due to grants received for capital projects being fully amortized in the second half of the prior fiscal year and beginning of the current fiscal year, including \$30.0M of ACE equipment that was put in use in 2012.

**Interest revenue** increase of \$2.0M reflects both the increase in interest rates in the 12 months and the re-negotiation for a more favourable rate of return on Treasury balances.

**Unrealized gain on interest rate swap** relates to the mark-to-mark gain on our new derivative financial instrument and reflects the prevailing swap rates.

## Expenses

Significant variances include:

**Salaries and benefits** increase includes \$6.3M increase for full-time employees, of which \$4.4M pertains to annual salary and benefit increases for faculty and staff, \$2.1M for net new hires, net \$0.5M for the accounting recognition of vacation accrual, offset by \$0.7M savings from vacant positions. Limited term contracts increased \$1.2M and reflects primarily increases in sessionals to back-fill full-time vacant positions and increases in casual labour as activities in the ancillary areas return to pre-pandemic levels.

**Student aid, financial assistance and awards** increase of \$0.7M includes \$0.4M increase in expendable and endowed awards due to a number of new awards created during the current fiscal year, \$0.5m increase in graduate research awards for international students as a result of international growth (this represents a 26% YOY increase in awards), offset with a \$0.2m decrease in entrance scholarships due to a decrease in domestic students.

**Supplies and Expenses** increase of \$7.6M over the prior year is attributable to the lifting of COVID-19 restrictions and university activities returning to pre-pandemic levels. Increase includes \$1.9M in travel and accommodation, \$1.2M increase in cost of sales for food services, \$0.9M increase in various supplies, \$0.9M increase in repairs and maintenance, \$0.8M for promotional and public relations expenses including convocation and university fair and other general expenses none of which exceeds \$0.5M.

**Amortization of capital assets** decreased by \$1.0M is mainly due to \$30.0M of ACE equipment with a useful life of 10 years being fully amortized at the end of last fiscal year.

**Loss on termination of capital lease** represents the loss charged to the income statement as a result of the termination of the lease with Regent Corporation, and is the difference between the carrying value of the asset (9.1M) and the lease liability (\$7.0M).

**Unrealized loss on investments** relate to the mark-to-market loss on our endowed investments held at PH&N. The year-over-year variance of \$1.9M reflects the less favourable market conditions in the current year with the ongoing concerns around inflation, surging interest rates and the geo-political issues of the Russia-Ukraine war. These have adversely impacted both the bond and equity market.

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Pamela Onsiong

**SLT LEAD:** Brad MacIsaac

**SUBJECT:** Management Reporting - Operating Summary for the year ending March 31, 2023

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**BOARD/COMMITTEE MANDATE:**

The Audit and Finance Committee ("Committee") is responsible for overseeing the financial affairs of the University, including approval of the annual budget and financial reporting to ensure that appropriate financial controls, reporting processes and accountabilities are in place at the University. This report was presented to the Committee on June 12, 2023.

**BACKGROUND/CONTEXT & RATIONALE:**

In April 2022, the Committee approved a budget with a net operating surplus of \$1.0M for the 2022/23 fiscal year. This report provides the Committee with an overview of the actual year-end financial results against the approved budget and the third quarter forecast (Appendix 1).

The operating budget is based on a projection of cash receipts and expenditures for the year. This contrasts with the audited financial statements which are prepared in accordance with generally accepted accounting principles ("GAAP") for non-for-profit organizations in Canada. In arriving at the year-end results on a GAAP basis, adjustments are required to be made to the management report,

- The management report includes cash outlays for capital investment in the budget year while the GAAP financial statements include an expense that reflects the amortization of all capital assets over their useful lives.

- Conversely, the GAAP financial statements include the unrealized gain/loss on endowed investments while these are not budgeted and therefore not included in the management report.

A reconciliation between the 2 sets of financial reports is disclosed at the bottom of Appendix 1.

## **HIGHLIGHTS:**

The **year-end net operating surplus**, after capital expenses, debenture and lease payments and investment in Regent Corporation, is \$0.5M. This compares with a 2022/23 budgeted surplus of \$1.1M and a \$0.2M surplus reported at the end of the 3rd Quarter (see items highlighted in blue in Appendix 1).

The current year has been marked by backlogs on student visa processing which has had a direct impact on international enrolment and in turn tuition revenues. The shortfall in international enrolment is offset by an increase in domestic enrolment (see Appendix 2) for a net negative variance of \$1.5M in total tuition against the budget.

On the expense side, the ongoing Russia-Ukraine war and the energy crisis in Europe have led to worsening economic conditions with both interest and inflation rates increasing to new highs. In spite of the increase in inflation rates since the budget was approved in April 2022, the University did not see a significant inflationary pressure on its expenses in the current year as over 75% of expenses pertain to labour which are tied to collective agreements; fixed debt obligations; and contracted services and license fees which are also fixed for the year under vendor contracts.

As part of the University's long-term campus master planning which includes a gradual move from the more expensive leased buildings to fully-owned buildings, the University acquired control of the Regent Corporation and its real estate located at 55 Bond Street for \$7.5M cash consideration. This financial transaction was completed on February 21, 2023, and funded through a combination of current year surplus and prior year reserves.

## **Analysis**

This analysis focuses on the variance between the year-end actual results vs the Q3 forecast. The actual operating surplus fell short \$2.1M of the forecast and is comprised of a number of significant variances in both revenue and expenses.

**Total Revenue** is unfavourable \$1.2M against the forecast and is mainly driven by:

- \$1.0M unspent grants deferred to be offset against expenses in the following year (see "academic support" under Expenses below)
- \$1.0 lower tuition revenues due to an error in the forecast

- \$0.9M favourable variance in “Other revenue” which comprises of \$1.1M increase in expendable donations to offset project expenses incurred in the year in alignment with donors’ agreements, \$0.5M in ancillary revenues offset by decrease in revenues attributable due to contracts deferred to next year (ACE \$0.6M, Start-Up Visa Program \$0.6M for which expenses have also been deferred) and other variances none of which exceeds \$0.5M.

**Total Operating Expenses** are unfavourable \$0.9M against the forecast:

- Academic Support units are favourable \$2.0M and is primarily due to expenses deferred to the following year and which will be covered by deferred grants and other revenue (see “grants” and “other revenue” above).
- Administrative units’ spending is unfavourable \$1.6M and is mostly due to \$1.1M increase in benefit costs for faculty and staff and \$0.3M associated with the early termination of an operating lease in downtown Oshawa.

**Total Ancillary Expenses** are unfavourable \$1.0M against forecast and includes \$0.6M due to higher than expected repairs and maintenance for the ACE facility

### **Investment in Regent Corporation**

Our Q3 forecast included a projected operating surplus of \$4.5M to reserve and invest in the acquisition of Regent Corporation. Due to the actual shortfall in net operating surplus as described above, the \$7.5M total investment in Regent Corporation has now been funded using \$1.5M of current year dollars with the remaining \$6.0M being funded through prior year reserves.

### **Conclusion**

In light of the ongoing tension between revenues and expenses, the University continues with prudent financial planning. The year-end surplus after investment in Regent Corporation is \$0.5M, and this has been internally restricted for faculty and student contractual obligations (e.g. faculty professional development and start-up funds and unspent student ancillary funds).

### **FINANCIAL IMPLICATIONS:**

The primary purpose of this financial update is to report on the year-end results of the operating budget. Maintaining a balanced (or surplus) budget is critical to Ontario Tech University’s short-term financial health and long-term financial sustainability.

### **SUPPORTING REFERENCE MATERIALS:**

- Appendix 1: Management Reporting: 2022/23 Operating Summary
- Appendix 2: Enrolment table

## APPENDIX 1

### Ontario Tech University Management Reporting: 2022/23 Operating Summary (in '000s) For the year ending March 31, 2023

April 1, 2022 - March 31, 2023									
Total Annual Budget	3rd Quarter Y/E Forecast	Actuals	Fav. (Unfav.) Actuals vs. Budget \$ / %		Fav. (Unfav.) Forecast vs Budget \$ / %		Fav. (Unfav.) Actuals vs. Forecast \$ / %		
<b>Revenue</b>									
Grants	82,179	86,138	85,160	2,980	4%	3,959	5%	(978)	-1%
Tuition	94,719	94,166	93,252	(1,467)	-2%	(553)	-1%	(914)	-1%
Student Ancillary	14,081	13,162	13,005	(1,076)	-8%	(919)	-7%	(157)	-1%
Other	18,867	21,934	22,813	3,945	21%	3,067	16%	879	4%
<b>Total Revenue</b>	<b>209,846</b>	<b>215,399</b>	<b>214,229</b>	<b>\$ 4,383</b>	<b>2%</b>	<b>\$ 5,553</b>	<b>3%</b>	<b>(1,170)</b>	<b>-1%</b>
<b>Expenditures</b>									
Academic/ACRU	85,761	84,967	85,706	55	0%	794	1%	(739)	-1%
Academic Support	44,418	45,462	43,487	931	2%	(1,044)	-2%	1,975	4%
Administrative	29,895	28,729	30,315	(420)	-1%	1,166	4%	(1,586)	-6%
<b>Sub-total</b>	<b>160,073</b>	<b>159,157</b>	<b>159,507</b>	<b>\$ 566</b>	<b>0%</b>	<b>917</b>	<b>1%</b>	<b>\$ (350)</b>	<b>0%</b>
<b>Purchased Services</b>	<b>14,237</b>	<b>13,596</b>	<b>13,399</b>	<b>838</b>	<b>6%</b>	<b>641</b>	<b>5%</b>	<b>197</b>	<b>1%</b>
<b>Total Ancillary</b>	<b>10,533</b>	<b>10,937</b>	<b>12,024</b>	<b>(1,491)</b>	<b>-14%</b>	<b>(404)</b>	<b>-4%</b>	<b>(1,087)</b>	<b>-10%</b>
<b>Debt Interest Expense</b>	<b>9,613</b>	<b>9,540</b>	<b>9,796</b>	<b>(183)</b>	<b>-2%</b>	<b>73</b>	<b>1%</b>	<b>(256)</b>	<b>-3%</b>
<b>Total Operating Expenses</b>	<b>194,456</b>	<b>193,229</b>	<b>194,726</b>	<b>\$ (270)</b>	<b>0%</b>	<b>\$ 1,227</b>	<b>1%</b>	<b>\$ (1,497)</b>	<b>-1%</b>
<b>Net Contribution from Operations</b>	<b>\$ 15,391</b>	<b>\$ 22,170</b>	<b>\$ 19,503</b>	<b>\$ 4,113</b>	<b>27%</b>	<b>\$ 6,779</b>	<b>44%</b>	<b>\$ (2,667)</b>	<b>-12%</b>
<b>Capital Expenses</b>	<b>9,761</b>	<b>12,862</b>	<b>12,517</b>	<b>(2,756)</b>	<b>-28%</b>	<b>(3,101)</b>	<b>-32%</b>	<b>345</b>	<b>3%</b>
<b>Principal Repayments - debt/leases</b>	<b>9,360</b>	<b>9,359</b>	<b>9,184</b>	<b>176</b>	<b>2%</b>	<b>0</b>	<b>0%</b>	<b>176</b>	<b>2%</b>
<b>Operating Surplus</b>	<b>\$ (3,730)</b>	<b>\$ (51)</b>	<b>\$ (2,198)</b>	<b>\$ 1,532</b>	<b>-41%</b>	<b>\$ 3,679</b>	<b>-99%</b>	<b>\$ (2,146)</b>	<b>4184%</b>
<b>Funded by prior year reserves</b>	<b>\$ 4,782</b>	<b>\$ 4,782</b>	<b>\$ 4,200</b>	<b>\$ (582)</b>	<b>-12%</b>	<b>\$ -</b>	<b>0%</b>	<b>\$ (582)</b>	<b>-12%</b>
<b>Net Operating Surplus</b>	<b>\$ 1,052</b>	<b>\$ 4,731</b>	<b>\$ 2,002</b>	<b>\$ 950</b>	<b>90%</b>	<b>\$ 3,679</b>	<b>350%</b>	<b>\$ (2,728)</b>	<b>-58%</b>
<b>Investment in Regent Corporation (55 Bond St)</b>	<b>\$ -</b>	<b>\$ 4,500</b>	<b>\$ 1,500</b>	<b>(1,500)</b>	<b>N/A</b>	<b>(4,500)</b>	<b>N/A</b>	<b>3,000</b>	<b>67%</b>
<b>Net Surplus after investment in Regent Corporation</b>	<b>\$ 1,052</b>	<b>\$ 231</b>	<b>\$ 502</b>	<b>\$ (550)</b>	<b>-52%</b>	<b>\$ (821)</b>	<b>-78%</b>	<b>\$ 272</b>	<b>118%</b>

#### Reconciliation of MR to Audited Financial Statements (AFS):

<b>Net Operating Surplus, per MR</b>	<b>\$ 502</b>
<b>Operating expenses/revenues disclosed on Balance Sheet</b>	
Capital Expenses	14,017
Debt and lease principal repayments	9,184
Capital grants accounted as contributions	(2,710)
Prior year revenue reserves	(4,200)
<b>Items not budgeted:</b>	
Externally funded research revenues	15,582
Externally funded research expenses	(14,051)
<b>Non-cash transactions:</b>	
Amortization of capital assets	(22,004)
Amortization of deferred capital contributions	8,252
Net loss on lease termination and other investments	(2,349)
Net unrealized gain on investments	172
Other accruals	212
<b>Excess revenue over expenses - as per AFS</b>	<b>\$ 2,608</b>



## APPENDIX 2

### ONTARIO TECH UNIVERSITY Operating Summary For the year ending March 31, 2023

#### Enrolment

FTE's	2021/22 actual	2022/23 approved budget	Q3 forecast *	2022/23 actual	2022/23 actual vs approved budget
<b>Undergraduate</b>					
Domestic	8,084	7,785	8,046	8,028	243
International	693	810	692	693	-117
<b>Graduate</b>					
Domestic	452	384	406	438	54
International	308	410	389	397	-13
<b>Total FTE's</b>	<b>9,537</b>	<b>9,389</b>	<b>9,533</b>	<b>9,556</b>	<b>167</b>

\* Q3 enrolment forecast reflects Winter 2023 Day 10 fall enrolment count.

Under the new funding formula implemented by the Ministry in 2017/18, the funding for domestic students for the current year remains flat at the 2016/17 level. Current eligible undergraduate and graduate enrolment projection is within the + / - 3% of the University's corridor midpoint.

The actual FTE against **budget** is favourable 167 FTE. This variance includes an increase in domestic FTE's as a result of higher than expected domestic intake and number of returning students, offset by a shortfall in international FTE's attributable to the delays in student visa processing.

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Brad MacIsaac, Vice President Administration

**SUBJECT:** Interim Risk Report

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**BOARD/COMMITTEE MANDATE:**

The Board of Governors is responsible for overseeing risk management, and other control functions at the University. This oversight includes receiving regular reports from management.

The office of Risk Management is charged with reporting each Audit and Finance meeting new additions and initiatives, changes, or emerging risks impacting the University. As the annual report was presented in February this update will focus on a few key activities since that date.

**BACKGROUND/CONTEXT & RATIONALE:**

The University Risk Management (URM) framework was established in June 2014. The University's revised annual risk report was accepted by the Board in April 2023, which included the University's first institutional risk dashboard. This interim update was presented to the Audit and Finance Committee on June 14<sup>th</sup> and has been brought forward to the Board of Governors for information.

There are no substantive changes to convey to the Board since the University presented the annual report in April. A summary of some key actions since the last report include:

- Continuing to work with the A&F chair and committee to develop expectations for the four meetings a year. The plan is to have a more in-depth report (including heat map) in November and June, with interim updates at the other meetings.

- A cross-institution operational task force has been created to establish an auditing platform to better track all risk-related action plans in a single location.
- The University is working closely with its insurance reciprocal on a series of programs to develop practical risk management tools and resources. Demonstrating the use and efficacy of these new mitigative tools will provide some financial relief in areas surrounding the existing deductibles, premiums, and limits.

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**Attachments:**

NA

## BOARD REPORT

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Board of Governors  
**DATE:** June 28, 2023  
**FROM:** Lauren Turner, University Secretary  
**SUBJECT:** Board and Committee Practices Assessment

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**COMMITTEE MANDATE:**

- In accordance with the Governance, Nominations & Human Resources Committee’s (GNHR) Terms of Reference, the Committee is responsible for developing, implementing & monitoring procedures for assessing the effectiveness of the Board and its committees
- The results from the Board and Committee Practices Assessments 2022-2023 were presented to GNHR at its May 25, 2023 meeting. The Committee provided feedback and direction on the annual Board Practices Assessment process, identification of governance priorities, and assignment of specific objectives to Board committees for the 2023-2024 Work Plans

**BACKGROUND/CONTEXT**

- Until 2018, the annual assessment was conducted by distributing and collecting the assessments by e-mail
- With the introduction of the OnBoard portal, GNHR directed that the assessment be completed using OnBoard
- The response rates for the past several years are:
  - 2020-2021: 17/21 governors (81%)
  - 2019-2020: 16/19 governors (84%)
  - 2018-2019: 16/20 governors (80%)
  - 2017-2018: 20/23 governors (87%)
  - 2016-2017: 20/24 governors (83%)
  - An assessment was not conducted in 2021-2022

- As part of the university's governance plan, an annual committee practices assessment (CPA) was developed and implemented by GNHR in 2020
  - 2020-2021: 16/18 governors completed the assessment (89%)
  - 2019-2020: 13/19 governors completed the assessment (68%)
  - An assessment was not conducted in 2021-2022
- In addition to evaluating Board and Committee effectiveness, the information collected from the assessment is used to guide the upcoming year's governance activities
- In 2022-2023 governors were asked to complete the assessment after the April Board meeting so that the results would be available for GNHR to review at the May meeting
- The response rates for each assessment are as follows:
  - Board Practices Assessment: 14/21 (67%)
  - Committee Practices Assessment: 15/21 (71%)

**Recommendations:**

- To improve the utility of the Assessment tool and results and hopefully increase response rates, the Secretariat recommended the following actions:
  - Continuing to use OnBoard to conduct the Annual Board and Committee Practices Assessments and that governors continue to be asked to complete the assessment after the April Board meeting so that the results may be collected for GNHR to review at the May meeting
  - Combining related questions into key themes thereby reducing the number of questions
  - Combining the Board and Committee practices into one survey
  - Reviewing the responses from the last few years to find 'pain points' and opportunities, and consider focusing the 2023-2024 on these areas
  - Consider adding questions related to Board and Committee Chair effectiveness
  - Discuss ways to increase the response rate for these surveys

**NEXT STEPS:**

1. Identification of responding governance activities
2. Incorporation of governance activities into Committee work plans

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**SUPPORTING REFERENCE MATERIALS:**

- Board and Committee Practices Assessment Results

# 2022-2023 Board and Committee Practices Assessment Results Summary

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

**Presented by:** Lauren Turner, University Secretary

**Date:** May 25, 2023

# Agenda

- Assessment Format
- Results
  - Board of Governors
- Results
  - Committees
- GNHR Direction for Board and Committee Priorities

# Assessment Overview

- As directed by GNHR, the 2022-2023 Board and Committee Practices Assessment was conducted through the OnBoard portal
- **14/21** governors completed the Board assessment - 67% compared to the 81% response rate of 2020-2021
- **15/21** governors completed the Committee assessment - 71% compared to the 2020-2021 response rate of 89%.
- Common themes include:
  - Encouraging the engagement of all Board members
  - Increasing the opportunity for generative/strategic discussion
  - Having materials presented to the Board that are focused on quality over quantity
  - Understanding University culture and context



# Results and Key Themes

## Board Practices Assessment

# Board Effectiveness

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. The Board as a whole has a clear understanding of the University's mission.	<b>6 (43%)</b> 5 (29%)	<b>8 (57%)</b> 11 (65%)	0	<b>0</b> 1 (6%)	0	0
2. The Board as a whole has a clear understanding of the University's strategic plan.	<b>6 (46%)</b> 8 (47%)	<b>7 (54%)</b> 8 (47%)	<b>0</b> 1 (6%)	0	0	0
3. The University's strategic goals are clear.	<b>9 (64%)</b> 9 (56%)	<b>5 (36%)</b> 7 (44%)	0	0	0	0
4. The University's strategic goals serve as a useful guide to the Board in the deliberations and policy making decisions.	<b>9 (64%)</b> 11 (65%)	<b>5 (36%)</b> 6 (35%)	0	0	0	0
5. The Board is provided with adequate information at meetings for effective decision-making.	<b>6 (43%)</b> 9 (56%)	<b>8 (57%)</b> 7 (44%)	0	0	0	0

# Board Effectiveness

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
6. The Board is provided with adequate resources prior to meetings for effective decision-making.	5 (38%) 7 (41%)	8 (62%) 10 (58%)	0	0	0	0
7. The Board has sufficient engagement with Academic Council.	2 (15%) 2 (13%)	6 (46%) 10 (63%)	4 (31%) 4 (25%)	0	0	1 (8%) 0
8. The Board has effective engagement with Academic Council.	2 (15%) 3 (19%)	6 (46%) 6 (37%)	4 (31%) 7 (44%)	0	0	1 (8%) 0
9. The Board understands the distinction between the responsibilities of its role and the role of the administration.	7 (50%) 9 (56%)	7 (50%) 7 (44%)	0	0	0	0
10. The Board has the opportunity to discuss matters of critical importance before decisions are made.	5 (38%) 10 (59%)	8 (62%) 6 (35%)	0 1 (6%)	0	0	0

# Board Effectiveness

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
11. The Board has the opportunity to ask questions of critical importance before decisions are made.	7 (54%) 11 (69%)	6 (46%) 5 (31%)	0	0	0	0
12. The Board ensures that members receive reports on how our organization has used its financial resources.	8 (62%) 8 (50%)	4 (31%) 7 (44%)	0 1 (6%)	0	0	1 (8%) 0
13. The Board knows the major challenges facing this university.	9 (64%) 12 (71%)	5 (36%) 5 (29%)	0	0	0	0
14. The Board knows the major opportunities facing this university.	5 (38%) 6 (38%)	6 (46%) 9 (56%)	2 (15%) 1 (6%)	0	0	0
15. The Board schedules sufficient time to discuss long term strategic issues.	4 (31%) 1 (6%)	7 (54%) 14 (82%)	2 (15%) 2 (12%)	0	0	0
16. Evaluation and reporting of Board performance is useful in improving the practices of the Board.	10 (71%) 7 (44%)	3 (21%) 9 (56%)	1 (7%) 0	0	0	0

# Board's Most Significant Achievement in Past Year

- Renewal of President's Contract and continued work on administration of strategic risk
- Balancing off-site, on-site post pandemic, while maintaining financial sustainability
- Budget support, specifically multi-year budget
- Approval of executive compensation changes
- Transitioning effectively to new Chair

# Most Important Thing Board Could Do to Improve Effectiveness

- Advocate issues defined by administration
- Allow more time for strategic discussion and synthesize information to relevant points
- Engagement of all members in discussions and be more involved in meetings
- Understanding university culture through student, faculty and administration perspectives

# Additional Comments on Board Effectiveness

- Board is well managed, excellent communication
- Cooperative and productive members
- Shorter and more strategic meetings have been appropriate and productive
- Increased communication of committee activities
- Ensure balance between quality and quantity of materials

# Board Structure

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. The Board has an effective committee structure for its needs.	6 (46%) 7 (47%)	7 (54%) 6 (37%)	0 3 (19%)	0	0	0
2. The Board makes good use of its committees.	8 (62%) 8 (50%)	5 (38%) 7 (44%)	0	0	0	0 1 (6%)
3. The level of delegation of authority to the Board Committees is appropriate.	8 (62%) 8 (47%)	8 (38%) 8 (47%)	0	0	0	0 1 (6%)
4. Board committees act appropriately within the delegation of authority (i.e. routine matters are resolved and significant matters are properly recommended to the Board).	10 (77%) 7 (41%)	2 (15%) 9 (53%)	0	0	0	1 (8%) 1 (6%)
5. Work done at the committee level can be relied on when considering items brought forward to the Board for review and approval.	9 (69%) 9 (60%)	3 (23%) 6 (38%)	0	0	0	1 (8%) 1 (6%)



# Board Structure

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
6. The Board has an effective orientation program for newly elected Board members.	4 (31%) 5 (31%)	9 (69%) 8 (50%)	0 1 (6%)	0 1 (6%)	0	0 1 (6%)
7. The Board has a diversity of representation (gender, ethnicity, profession).	2 (15%) 5 (29%)	6 (46%) 10 (59%)	4 (31%) 1 (6%)	1 (8%) 0	0	0 1 (6%)
8. The Board has effective recruitment strategies to assess needs for, identify and attract new Board members.	2 (15%) 5 (31%)	4 (31%) 8 (50%)	4 (31%) 1 (6%)	0	0	3 (23%) 2 (13%)

# Additional Comments on Board Structure

- Pride in women led subcommittees and Board members
- Executive search firm would be effective to recruit new Board members
- Effective transition in leadership with new Board Chair
- The need to increase engagement of all Board members

# Board Meetings

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. Board meetings are strategic.	4 (31%) 7 (41%)	9 (69%) 10 (59%)	0	0	0	0
2. Board meetings focus on priority issues.	5 (38%) 8 (50%)	8 (62%) 8 (50%)	0	0	0	0
3. Discussions are informative.	6 (46%) 10 (63%)	7 (54%) 5 (31%)	0 1 (6%)	0	0	0
4. Discussions are productive.	6 (46%) 6 (37%)	7 (54%) 10 (63%)	0	0	0	0
5. Discussions occur in a respectful manner.	13 (93%) 14 (82%)	1 (7%) 3 (18%)	0	0	0	0

# Board Meetings

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
6. The meeting documentation provides adequate information for preparation prior to a meeting.	8 (57%) 10 (59%)	5 (36%) 7 (41%)	0 0	1 (7%) 0	0 0	0 0
7. The agenda is well-planned so that the Board is able to get through all necessary business.	10 (77%) 7 (44%)	3 (23%) 8 (50%)	0 1 (6%)	0 0	0 0	0 0
8. Board members are well apprised of issues prior to making a decision.	5 (36%) 7 (44%)	8 (57%) 9 (56%)	1 (7%) 0	0 0	0 0	0 0

# Additional Comments on Board Meetings

- Meetings are effective and efficient
- Secretary is helpful and supportive both in person and virtually
- The need for engagement from all members
- Continued attention to issues facing staff and students is essential
- The need for quality materials over quantity

# Individual Board Involvement

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. My abilities fit well with the strategic demands facing the University.	<b>8 (62%)</b> 9 (53%)	<b>5 (38%)</b> 7 (41%)	<b>0</b> 1 (6%)	0	0	0
2. My abilities are being used effectively in my role(s) on the Board.	<b>7 (54%)</b> 6 (38%)	<b>6 (46%)</b> 6 (38%)	<b>0</b> 3 (18%)	<b>0</b> 1 (6%)	0	0
3. My abilities are being used effectively in my role(s) on the Board's committees.	<b>6 (46%)</b> 5 (29%)	<b>6 (46%)</b> 9 (53%)	<b>0</b> 3 (18%)	0	0	<b>1 (8%)</b> 0
4. My abilities are being used effectively to support the University's government relations strategy.	<b>3 (21%)</b> 4 (24%)	<b>2 (14%)</b> 5 (29%)	<b>5 (36%)</b> 6 (35%)	<b>0</b> 1 (6%)	0	<b>4 (29%)</b> 1 (6%)
5. My abilities are being used effectively to support the University's advancement strategy.	<b>3 (21%)</b> 3 (19%)	<b>7 (50%)</b> 7 (44%)	<b>2 (14%)</b> 3 (19%)	<b>0</b> 1 (6%)	0	<b>2 (14%)</b> 2 (12%)
6. My time is well-utilized at Board and committee meetings.	<b>8 (62%)</b> 8 (47%)	<b>4 (31%)</b> 9 (53%)	<b>1 (8%)</b> 0	0	0	0
7. I read the minutes, reports and other materials in advance of Board and Committee meetings.	<b>8 (57%)</b> 10 (63%)	<b>6 (43%)</b> 6 (37%)	0	0	0	0

# Individual Board Involvement

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
8. I am familiar with what is in University of Ontario Institute of Technology's Act, By-Laws and governing policies.	3 (23%) 6 (37%)	8 (62%) 8 (50%)	2 (15%) 2 (13%)	0	0	0
9. When I have a different opinion than the majority, I raise it.	8 (57%) 7 (44%)	6 (43%) 7 (44%)	0 2 (12%)	0	0	0
10. I support Board decisions once they are made even if I do not agree with them.	10 (77%) 7 (44%)	3 (23%) 8 (50%)	0	0	0	0 1 (6%)
11. I have taken advantage of opportunities made available to Governors to interact with faculty and students during my term.	7 (54%) 5 (31%)	4 (31%) 4 (25%)	0 5 (31%)	0	0	2 (15%) 2 (13%)
12. I believe that I am able to contribute effectively to the Board's work.	11 (79%) 10 (62%)	3 (21%) 6 (38%)	0	0	0	0
13. I believe that I am able to contribute effectively to the University.	9 (69%) 10 (59%)	4 (31%) 7 (41%)	0	0	0	0
14. Overall my experience as a Board member has been positive.	12 (86%) 13 (69%)	2 (14%) 4 (24%)	0	0	0	0

# Additional Comments on Individual Board Involvement

- Excellent Board, pride in membership, positive experiences
- On-campus events relevant to governors could be shared



# Results and Key Themes

## Committee Practices Assessment

# Committee Effectiveness

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. The mandate of the Committee is clearly set out in the Terms of Reference.	8 (53%) 11 (69%)	6 (40%) 5 (31%)	0 0	0 0	1 (7%) 0	0 0
2. The Committee's Terms of Reference continue to be appropriate.	7 (47%) 10 (63%)	6 (40%) 6 (37%)	1 (7%) 0	0 0	1 (7%) 0	0 0
3. I would value being offered Committee-specific orientation.*	4 (27%) 3 (19%)	5 (33%) 9 (56%)	5 (33%) 0	1 (7%) 0	0 0	0 4 (25%)
4. I have a clear understanding of the committee's mandate.	9 (60%) 7 (44%)	5 (33%) 8 (50%)	0 1 (6%)	0 0	0 0	1 (7%) 0
5. The Committee, as a whole, has a clear understanding of its mandate.	5 (33%) 6 (37%)	7 (47%) 7 (44%)	1 (7%) 3 (19%)	0 0	0 0	2 (13%) 0

\*Question in 2021: The Committee orientation was helpful

# Committee Effectiveness

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
6. The Committee is effective in carrying out its mandate.	5 (33%) 8 (50%)	9 (60%) 8 (50%)	0 0	0	0	1 (7%) 0
7. The Committee has the opportunity to discuss matters of critical importance before decisions are made.	8 (53%) 10 (63%)	6 (40%) 4 (25%)	0 2 (12%)	0	0	1 (7%) 0
8. The Committee has the opportunity to ask questions of critical importance before decisions are made.	7 (47%) 11 (69%)	6 (40%) 4 (25%)	1 (7%) 1 (6%)	0	0	1 (7%) 0
9. Overall, the Committee functions effectively.	6 (40%) 10 (63%)	8 (53%) 6 (37%)	0 0	0	0	1 (7%) 0

# Committee's Most Significant Achievement

- Supporting Master Campus Plan
- Financial management practices and budgeting process, including 3-year cycle
- Oversight and support of capital projects, Risk Reporting process
- Advancing recruitment for external governors
- Post-Covid delivery in person and online

# Committee's Greatest Strengths

- Positive relationships and respect for work of staff
- Diversity of members, enables dialogue, value of diverse perspectives
- Engagement of members
- Skills of Chair
- Efficient meetings
- Strong communication
- Chair and vice-chair are knowledgeable, management prepared and open to feedback
- Well documented information sent to committee in advance

# Most Important Thing Committee Could Do to Improve Effectiveness

- Chair can continue to effectively direct meetings
- Effective, concise, and timely sharing of materials including relevant updates and advance awareness of potential projects
- Effective use of time to allow for effective dialogue and discussion; asking questions
- Continue strategic discussions

# Additional Feedback Regarding Committee Effectiveness

- Virtual format improves attendance
- Staff always prepared, and appreciated
- Meetings are timely, professional, respectful
- Continued adaptation to maximize effectiveness, ensures University and community needs are met.

# Committee Structure & Meetings

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
1. The Committee has the appropriate number of members.	3 (20%) 8 (50%)	10 (67%) 7 (44%)	1 (7%) 1 (6%)	0	0	1 (7%) 0
2. The Committee is composed of members who have the appropriate expertise and experience to help the Committee advance its mandate.	4 (27%) 7 (44%)	7 (47%) 7 (44%)	3 (20%) 2 (12%)	0	0	1 (7%) 0
3. The number of Committee meetings is adequate to fulfill the Committee's responsibilities.	5 (33%) 3 (19%)	9 (60%) 11 (69%)	0 1 (6%)	0	0	1 (7%) 1 (6%)
4. Committee meetings are strategic.	6 (40%) 5 (31%)	8 (53%) 9 (56%)	0 2 (12%)	0	0	1 (7%) 0
5. Committee meetings focus on priority issues	6 (40%) 6 (37%)	8 (53%) 10 (63%)	0	0	0	1 (7%) 0



# Committee Structure & Meetings

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
6. Committee members arrive prepared for meetings.	<b>4 (27%)</b> 4 (25%)	<b>8 (53%)</b> 9 (56%)	<b>1 (7%)</b> 3 (19%)	0	0	<b>2 (13%)</b> 0
7. Meetings are conducted in a way that supports meaningful member participation	<b>8 (53%)</b> 8 (50%)	<b>4 (27%)</b> 8 (50%)	0	0	0	<b>3 (20%)</b> 0
8. The Committee is focused on oversight and strategy, not on operational detail.	<b>5 (33%)</b> 6 (40%)	<b>9 (60%)</b> 9 (60%)	0	0	0	<b>1 (7%)</b> 0
9. Committee members ask relevant questions with respect to the Committee's oversight responsibilities.	<b>7 (47%)</b> 6 (40%)	<b>6 (40%)</b> 9 (60%)	<b>1 (7%)</b> 0	0	0	<b>1 (7%)</b> 0
10. Discussions occur in a respectful manner.	<b>13 (87%)</b> 12 (75%)	<b>1 (7%)</b> 4 (25%)	0	0	0	<b>1 (7%)</b> 0
11. The Committee is provided with adequate information at meetings for effective decision-making.	<b>9 (60%)</b> 6 (40%)	<b>4 (27%)</b> 8 (53%)	<b>1 (7%)</b> 1 (7%)	0	0	<b>1 (7%)</b> 0

# Committee Structure & Meetings

Question	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	No Response
	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021	2023 2021
12. The Committee is provided with adequate resources prior to meetings for effective decision-making.	8 (53%) 5 (31%)	5 (33%) 10 (63%)	1 (7%) 1 (6%)	0	0	1 (7%) 0
13. The meeting material is received sufficiently in advance to adequately prepare for meetings.	6(40%) 4 (25%)	8 (53%) 9 (56%)	0 2 (13%)	0 1 (6%)	0	1 (7%) 0
14. Presentations are interesting and helpful.	7 (47%) 5 (31%)	6 (40%) 8 (50%)	1 (7%) 1 (6%)	0 1 (6%)	0	1 (7%) 1 (6%)
15. The agenda is well-planned so that the Committee is able to get through all necessary business.	8 (53%) 10 (67%)	6 (40%) 4 (27%)	0 1 (7%)	0	0	1 (7%) 0
16. Committee members are well apprised of issues prior to making a decision.	7 (47%) 6 (37%)	5 (33%) 9 (56%)	0 1 (6%)	2 (13%) 0	0	1 (7%) 0

# Additional Feedback Regarding Committee Structure

- Cover reports to committee packages provide overview and information is helpful; need to focus on key issues in advance materials
- SLT commended for prep work
- Committee and board meetings could be distributed more evenly throughout school year
- Submission of questions to management prior to meetings would be efficient and hedge groupthink bias

# Discussion

## BOARD REPORT

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**SESSION:**

Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Andrew Sunstrum, Director, Human Rights Office

**SUBJECT:** Annual Human Rights Report 2022-2023

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**COMMITTEE MANDATE:**

- GNHR’s Terms of Reference state that the Committee’s mandate includes the establishment of human resources policy instruments.
- The Human Rights Office has oversight over the University’s Human Rights and Student Sexual Violence Programs, which includes handling human rights and student sexual violence issues in accordance with these policies.

**BACKGROUND/CONTEXT & RATIONALE:**

The Human Rights Office plays a significant role in advancing the strategic objective of creating a sticky campus. This work is done with a focus on initiatives to improve the culture within which students learn and employees work. Several years ago, the Human Rights Office began to focus on how the university improves its culture by increasing its capacity to manage conflict and promote respect. The purpose of the Annual Report is to communicate dispute statistics in order to track progress and to support continuous improvement.

This report was presented to GNHR on May 25, 2023.

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**

- The Annual Report supports the university’s values of integrity and respect by demonstrating the university’s commitment to establishing a safe, inclusive, and equitable culture at the institution.
- By demonstrating the seriousness in which the University places on safeguarding human rights, this report also supports the strategic pillar of creating a “sticky campus”. If we want to encourage the university community to spend time on

campus, they must feel protected and confident that human rights issues are being dealt with appropriately.



# Annual Report

2022-2023

Human Rights

## TABLE OF CONTENTS

PART I – OVERVIEW	2
PART II – STATUS UPDATE	2
1. Purpose	2
2. Data and Trends	2
a. Issue Type	3
b. Intervention Type	4
c. Issue Source	5
d. Protected Grounds	5
3. Measuring Progress:	6
PART III – GOING FORWARD	7
4. 2023-2024 Goals and Objectives	7
5. Conclusion	7

### Appendices:

A. Student Sexual Violence Supports, Services & Programming



## PART I OVERVIEW

The Human Rights Office (HRO) has oversight over the University's human rights and student sexual violence programs, and promotes a consistent and compliant approach to handling human rights issues raised by faculty members, staff, students and visitors.

The HRO promotes a Sticky Campus by supporting and enforcing a culture of respect and inclusivity and administering a seamless dispute resolution program.

The HRO plays a crucial role in promoting institutional capacity for identifying and resolving human rights-related disputes and conflict and is available on a confidential basis to provide advice and direction to any university member who is experiencing, witnessed or has received information about alleged harassment, discrimination, sexual violence, micro-aggressions or other forms of interpersonal conflict/disputes.

The HRO supports: de-escalation, dialogue, facilitated discussions, formal investigations and training/education.

## PART II STATUS UPDATE

### 1. PURPOSE

As outlined in the University's [Respectful Campus Policy](#) and [Student Sexual Violence Policy and Procedures](#), Ontario Tech University is committed to providing an annual report to assist the Board and University Members to understand the state of the University's human rights and student sexual violence programs and identify progress and trends from year to year. This report represents the University's third Annual Human Rights Report and second consolidated human rights/student sexual violence report. The Report details progress to-date on the implementation of the University's human rights program and reports data related to human rights-based complaints and consultations, including comparison data from past years. It also addresses annual reporting obligations related to the University's student sexual violence program, including a compilation of data and information from internal partners that share responsibility for addressing and responding to student sexual violence.

### 2. DATA & TRENDS

Aggregate data on the resolution of issues is a key component of this report as it provides an annual snapshot of the human rights issues and concerns brought forward by University Members for resolution. The reporting period is the University's fiscal year; April 1, 2022 – March 31, 2023.

### a. Issue Type

There are five (5) issue types that fall under the HRO's accountability: Discrimination, Duty to Accommodate, Harassment, Student Sexual Violence and issues of a general nature involving Human Rights.<sup>1</sup>

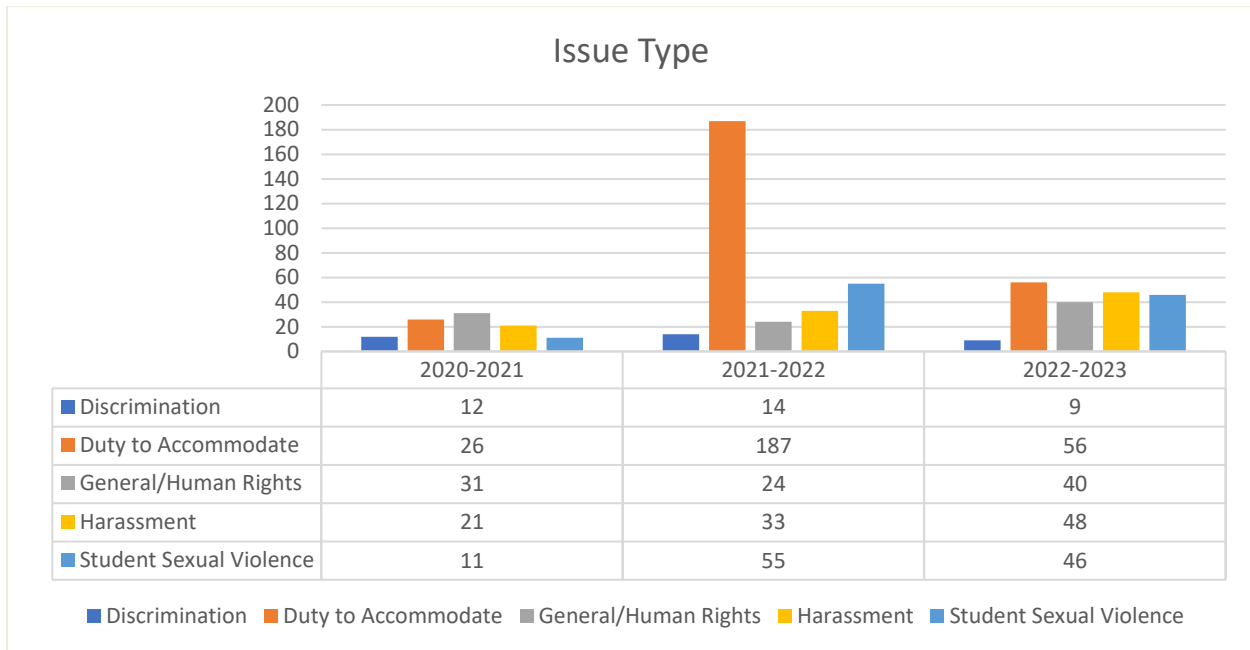


Table: 1

In the 2022-2023 fiscal year, there were 199 human rights issues brought forward. This represents a downward trend from the exceptionally high volume in 2021-2022 attributable to the University's COVID-19 Vaccine Directive. However, it is an increase from 2020-2021.

There were 46 disclosures and reports of student sexual violence in 2022-2023; a decrease from the previous year which saw a total of 55. The disclosures and reports<sup>2</sup> of student sexual violence were received and addressed as follows:

- Mental Health Services in Student Life received 32 disclosures. 11 of these incidents were classified as occurring in the last 12 months; 21 were classified as historical. 3 incidents occurred on campus; 29 incidents occurred off campus.
- The HRO received 9 disclosures (1 anonymous) and 3 reports of student sexual violence – all 3 of the reports received by the HRO were related to alleged harassment. The three reports were investigated.

<sup>1</sup> The "General" category broadly includes consultations regarding human rights principles or inquiries of a programmatic nature, e.g. requests to review policy instruments or training materials to ensure human rights compliance, questions about legislative and policy interpretation, procedural inquiries, etc.

<sup>2</sup> The University's Student Sexual Violence Policy and Procedures distinguish between a "disclosure" of sexual violence, which is simply the act of telling a trusted individual about an incident of sexual violence and accessing supports or services; and, a "report" of sexual violence, which is a request that the University implement an investigation and/or dispute resolution processes to resolve a complaint.

- The Office of Campus Safety and Security received 2 disclosures

\* additional information about Student Sexual Violence Programming is in 'Appendix A' below

## b. Intervention Type



The HRO annual report previously captured six main types of interventions applied to matters received by the office:

1. Consultation: the act of reaching out to the HRO for advice or information.
2. Assessment: An HRO analysis of an issue to determine whether the matter triggers human rights obligations and/or requires intervention.
3. Early Resolution: when the HRO works with parties to resolve complaints prior to a formal complaint, or to assist persons of authority address incidents/concerns in a manner compliant with human rights obligations.
4. Informal Resolution: when the HRO employs a structured process, such as a mediation or restorative justice process, to resolve a complaint to the satisfaction of the parties in dispute.
5. Formal Resolution: when the HRO ensures an investigation to determine whether a policy violation has occurred.
6. Disclosures: incidents of student sexual violence disclosed to obtain supports and resources.

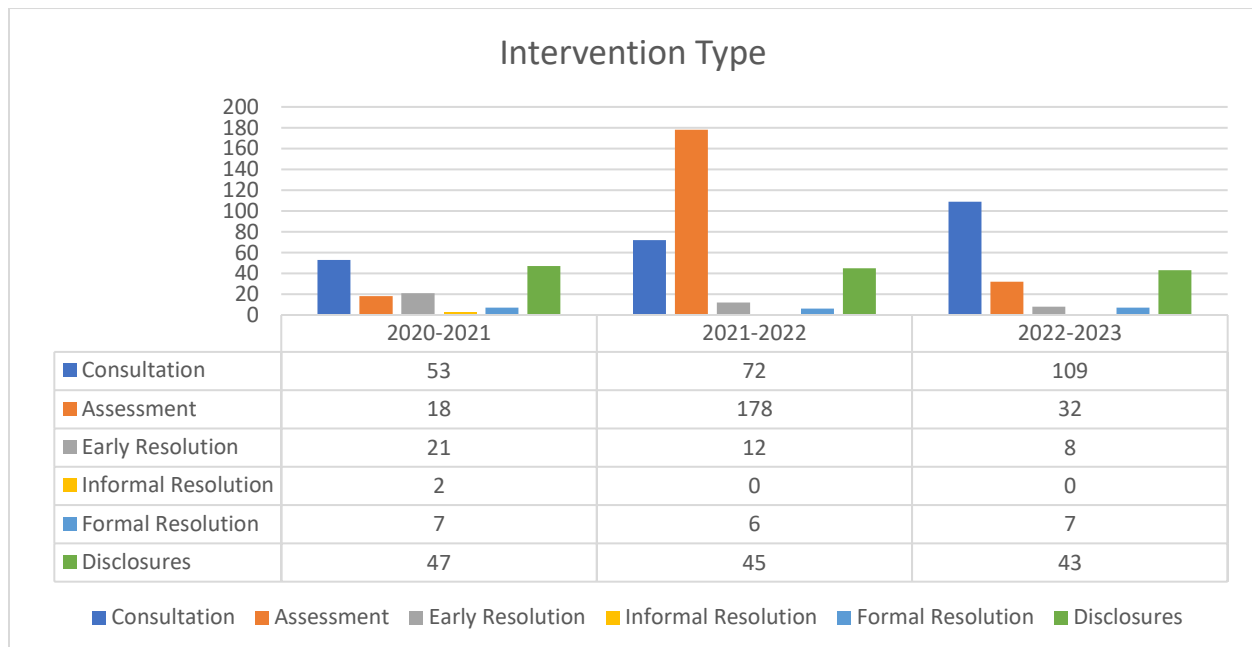


Table: 2

### c. Issue Source

The HRO provides services to all University members, including Faculty, Staff, Students and Visitors. The following table shows the source of issues that were brought forward. For comparison, in the 2020-2021 reporting period the issue source was as follows: Students – 33, Staff – 46, Faculty – 22, External – 0.

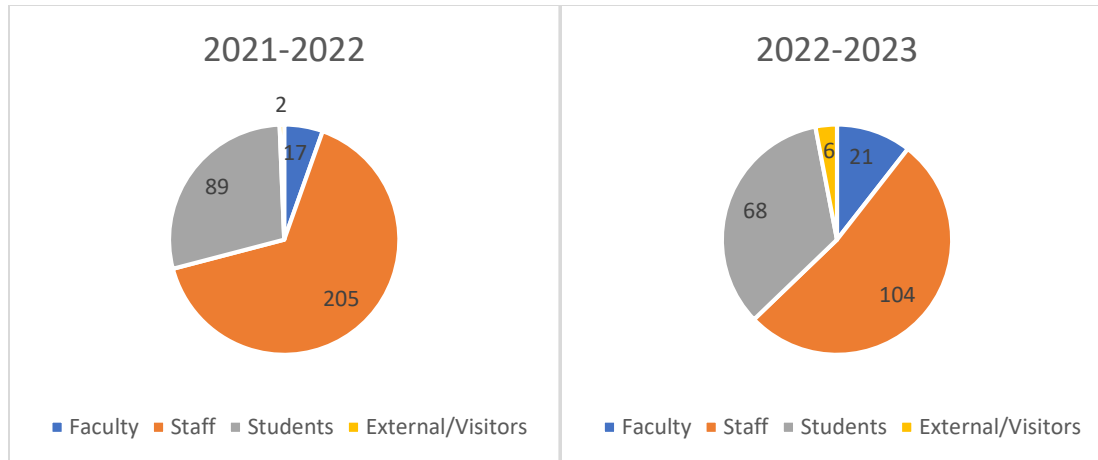


Table: 3

### d. Protected Grounds

Protected Grounds are the grounds contained in the Ontario Human Rights Code (OHRC) under which individuals are protected against discrimination and harassment. Most, but not all, of the complaints and concerns raised to the HRO cite one or more Protected Grounds. Additionally, the HRO intervenes to address incidents and complaints that fall under other legislation, but overlap with the OHRC, i.e., the Occupational Health and Safety Act (Workplace Sexual Harassment) and the Ministry of Training, Colleges and Universities Act (Student Sexual Violence).

A number of consultations completed by the HRO are of a general human rights nature in which no specific protected ground is cited – these are captured in the following table under the “unspecified” column. The HRO is also accountable for addressing incidents of workplace harassment, in which a connection to a protected ground is not required.

It should be noted that the number of protected grounds cited may not correspond directly to the number of cases received. This is due to the fact that multiple protected grounds may be cited by individuals who come forward.

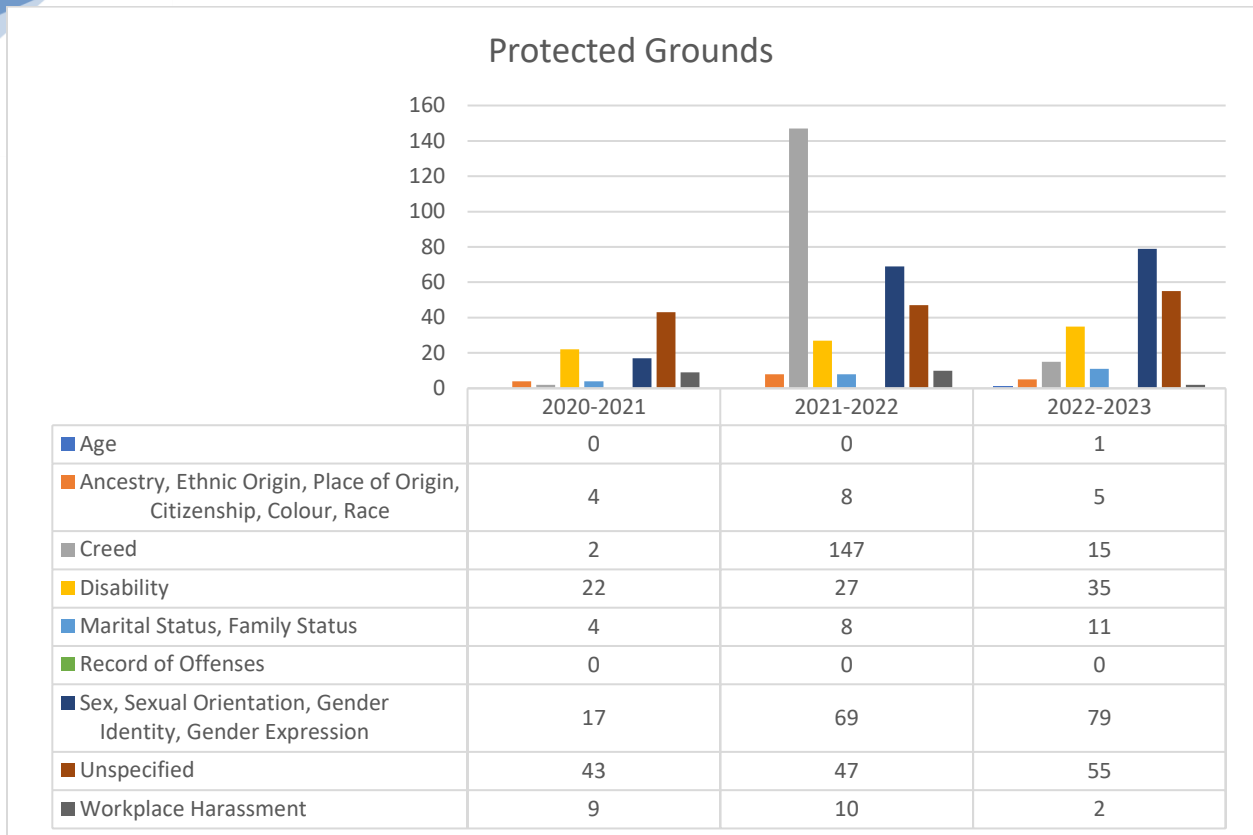


Table: 4

### 3. MEASURING PROGRESS

#### DATE MILESTONES ACHIEVED

The HRO has made significant progress in a short amount of time by working collaboratively and effectively with key internal stakeholders to promote and champion human rights principles, clarify roles and responsibilities, gain buy-in, and implement a consistent and compliant dispute resolution program applicable for all University members.

Key objectives met over the 2022-2023 period include:

- The completion of an environmental scan of Student Sexual Violence resources, supports and dispute resolution processes; and the creation of a plan to integrate human rights and student sexual violence programming
- Completion of an online reporting tool
- Completion of updated gender-based violence online training. This training is mandatory for all University members. It was launched to employees in May 2023 and will be launched for students in September 2023.

The achievements of the HRO are rooted in the groundwork established by the Board and reflective of the University's commitment to human rights and equity, demonstrated through institutional governance documents including the Respectful Campus Policy, and separate procedural documents for Employees and Students.

## PART III GOING FORWARD

### 4. 2023 – 2024 GOALS AND OBJECTIVES

As we reflect on the HRO's progress to-date, we recognize that there is still work required to realize the University's goal of ensuring and enhancing a campus culture of respect and inclusivity. We also know that the HRO cannot achieve this alone, but instead relies on the cooperation and support of the entire University to ensure a respectful campus environment in which the human dignity of each individual is valued, and the diverse perspectives, ideas and experiences of all members of the community are valued.

The HRO will continue to support the community in this endeavor by providing advice; assistance; early and informal approaches to dispute resolution; and if necessary, formal investigation of human rights disputes.

#### ***Gender-based Violence:***

Over this next fiscal year, we will continue work to integrate aspects of the Student Sexual Violence Program with the existing Human Rights Program as follows:

- The Student Sexual Violence Policy and Procedures will be updated; and,
- A communications plan reflecting the Policy and Procedural updates will be created and launched

#### ***Human Rights:***

The HRO will continue to support and promote a respectful campus by focusing upon the following three (3) priority areas:

1. Communications:
  - a. The HRO will enhance campus communications; and,
  - b. The HRO will develop and post informational resources to assist University Members in understanding their rights, responsibilities and obligations.
2. Training/Education: The HRO is currently working to update and enhance online compliance-based human rights training.
3. The HRO looks forward to working collaboratively with the newly hired AVP of Inclusion, Diversity, Equity and Accessibility.

### 5. CONCLUSION

We conclude by encouraging all University members to play a role in confronting and addressing problematic behaviour on campus and maintaining a campus environment that is inclusive for all. As a community, we can help to prevent conflict escalation by remaining respectful and focusing on addressing conflict in a timely, constructive and cooperative manner. Together, we can ensure a positive and inclusive campus environment; part of the "sticky" campus we all envision.

## APPENDIX A – STUDENT SEXUAL VIOLENCE SUPPORTS, SERVICES & PROGRAMMING<sup>3</sup>

### 1. **Advisory Committee on Implementation and effectiveness of the Policy & Supports**

The Advisory Committee on Student Sexual Violence Prevention and Support, established in December 2017, is mandated to ensure that the university's Policy, and the support services, programming and training that sustain these policies, are reviewed on a regular basis and continuously improved upon. This year, the Committee was composed of 6 students, 1 representative from the Ontario Tech Student Union, 7 staff from across the university, 1 community partner and 1 alumnus.

### 2. **Supports, services and accommodations:**

- Support Workers, through the university's Student Mental Health Services, support students who have experienced sexual violence. All counsellors participate in ongoing training in trauma-informed therapy and have experience working with survivors of sexual assault. In addition, an Outreach Worker in the residence works very closely with the Support Workers in providing onsite support for students living in residence.

### 3. **Awareness and programming**

In 2022-2023, efforts to raise awareness and educate students about the Policy, supports and services were largely driven by the Student Engagement and Equity team in Student Life. Initiatives to raise awareness and educate on sexual violence included:

- **#WeGetConsent Awareness Week:** Once per semester in the Fall and Winter terms, Student Engagement and Equity hosts our #WeGetConsent Awareness Week which focuses on educating our campus community about sexual violence prevention and our institution's sexual violence policy. This year, we interacted with 255 students at the booths.
- **#WeGetConsent Online Campaign:** The #WeGetConsent online campaign continued this year with several initiatives throughout the year aimed at educating students about consent and sexual violence prevention. Programming included social media posts aimed at continuing the consent conversation online and encouraging students to share their own understanding of consent and ways they can be upstanders should they observe anyone causing harm.
- **16 Days of Activism Against Gender-Based Violence:** From November 25, to December 10, 2022, Ontario Tech hosted a campaign for 16 Days of Activism. The campaign helped students, staff and faculty learn more about gender-based violence prevention. The program included an online event and engaging social media content where they asked members of the university community to share what they will do to contribute to ending gender-based violence. In total, 26 people attended the online event.
- **Residence Consent Tabling:** Student Engagement and Equity set up a Consent Awareness booth in both South Village and Simcoe Residences to create awareness

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<sup>3</sup> Sections 17 (7) and (7.1) of the Ministry of Training, Colleges and Universities Act note that universities are to provide their Board of Governors with an annual report including information about their student sexual violence initiatives and programs



about consent and sexual violence prevention. Approximately 25 students interacted with the representatives at the booth.

- **Women's Abuse Awareness Month:** Student Engagement and Equity is a member of the Women's Committee of Durham Region which is a group of community organizations that work together to bring awareness to women's issues. This year, the committee held an event on campus to educate students about women's issues such as human trafficking, gender-based violence and victim's services. 56 students interacted with the booths.
- **#LetsTalkSex Workshop Series:** A series of sex-positive and sexual health workshops were offered by Student Life to help students feel more comfortable having conversations about consent. These workshops were provided through a collaboration with the AIDS Committee of Durham Region, Durham College and Trent University and included topics such as consent, sexual health and sexuality. A total of 149 students participated throughout the 3 semesters (June-July 2022, September-December 2022 and January-March 2023).
- **Sexual Violence Prevention and Disclosure Training:** Supporting Survivors of Sexual Violence: This training was offered by Student Engagement and Equity, in Collaboration with the Durham College Sexual Violence Prevention Office, to 13 Resident Advisors and 2 Residence Staff, working in the shared Ontario Tech and Durham College Residences. This workshop provides an overview of sexual violence, reviews the on-campus resources available to survivors and helps students develop effective and supportive responses to victims and survivors who disclose having experienced sexual violence.
- **Staff and Faculty Training:** Online training modules are available for faculty members and staff to provide information about the sexual violence policies and procedures, and the supports for employees and students who experience, or witness, sexual violence. This training was updated in 2022-2023 and was launched to all employees in May 2023 – the training is mandatory for all faculty and staff.
- **RISE: Sexual Violence Prevention:** The RISE (Respect Inclusivity and Support Equity) program, offered by the Student Engagement and Equity Team, is a series of workshops focusing on the development of by-stander intervention strategies. Students are encouraged to attend these workshops to earn a RISE Certificate officialised by the University. RISE Topics include: two mandatory workshops- RISE: Let's Talk Equity and RISE: First Peoples. As well, seven elective workshops- RISE: Anti-Ableism, RISE: Anti-Racism, RISE: Consent and Sexual Violence Prevention, RISE: Feminism, RISE: Health Equity, RISE: Sexual Orientation, and RISE: Trans Identities. A total of 503 students participated in the RISE workshops in 2022-2023.
- **Community Partnerships:** The Student Engagement and Equity team worked with several community partners this year to offer the Ontario Tech community engaging educational programming related to sexual violence prevention and support. The collaborations included a webinar on Workplace Sexual Harassment with the Sexual Harassment and Assault Resource Exchange (SHARE), the Man-Made program with the Durham Rape Crisis Center and Durham College, the Women's Sexual Health Fair with the AIDS Committee of Durham Region and the Women's Abuse Awareness Month booth with the Women's Committee of Durham Region.



# BOARD REPORT

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**SESSION:**

**Public**   
**Non-Public**

**ACTION REQUESTED:**

**Decision**   
**Discussion/Direction**   
**Information**

**TO:** **Board of Governors**

**DATE:** **June 28, 2023**

**PRESENTED BY:** **Dr. Lori Livingston, Provost and Vice-President, Academic**

**SUBJECT:** **2023-2028 Integrated Academic-Research Plan**

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**BACKGROUND/CONTEXT & RATIONALE:**

Since 2019, the Office of the Provost has led an institution-wide effort to create an Integrated Academic-Research Plan. The first two versions of the plan spanned two-year periods (i.e., 2019-2021 and 2021-2023). As our planning processes have improved and matured over time, and the need to provide focus on our priorities through disruptions and challenging local and global contexts that we operate within, the temporal framework of the plan now spans a five-year period. This plan, along with the recent addition of institutional metrics as well as integrated plan templates, provide the basis upon which to evaluate and report on our progress toward our plan on an annual basis.

The 2023-2028 Integrated Academic-Research Plan (IARP) charts our course towards our ultimate goal of being a preeminent STEM institution. The IARP is the anchoring planning document that guides other initiatives in place or underway at the university. It works in tandem with the already existing Ontario Tech *Driving the Future with Research Excellence: Strategic Research Plan 2020-2025* and it drives our year-over-year budgeting and capital planning processes.

This document aligns our key strategic areas with explicit commitments (or goals) and the actions required to achieve them. It is informed by our previous integrated plans as well as the multiple annual plans generated by Ontario Tech’s academic and administrative units. It aligns with our Vision, Mission, and Values statements and it follows the rolling plan format first introduced in 2019. The IARP identifies the priorities and strategies that anchors our integrated planning framework. This ensures that our annual review and evaluation cycles provide the opportunity to determine the success of our actions, align resources as well as adjust to our realities. It is intentionally brief.

**CONSULTATION:**

This year’s planning exercise began with members of the Ontario Tech community being invited to engage in planning activities at the unit level. The process was led by our academic and

administrative leaders who worked with their colleagues to update strategies as well as evaluate the progress made on the action items contained in their 2021-2023 unit level plans. The evaluation processes are a critical step in identifying what actions have been completed, remain in progress, or have yet to be addressed. From there, each unit was positioned to identify what previously identified actions would carry forward into and what new initiatives might be included in their unit plans.

Following the completion of individual unit plans, in late November, 2022 a day long retreat with all academic and administrative unit leads was held to identify key points of intersection (or integration) between the various plans. Thereafter, a draft Executive Summary version of this document was used as the basis for university-wide town hall sessions beginning in March, 2023.

A summary of the consultations that took place are listed below. Members (i.e., students, staff, and faculty) of the Ontario Tech community were notified of and afforded opportunities to provide oral and/or written feedback (through the [planning@ontariotechu.ca](mailto:planning@ontariotechu.ca) email) on the IARP as follows:

- February 28 Notification to Academic Council of upcoming Town Hall sessions
- March 10 Draft Executive Summary version posted to the Planning Office website
- March 10 Ontario Tech Community Town Hall 1
- March 16 Ontario Tech Community Town Hall 2
- March 20 Senior Leadership Team
- March 20 Faculty Association Joint Committee
- April 10 Senior Academic Team (i.e., Deans, Registrar, Chief Librarian)
- April 25 Notification to Academic Council that the draft full-version of the plan is posted with request for feedback by May 1
- April 25 Draft Full-Version of the Plan is posted to the Planning Office website
- May 9 Senior Leadership Team
- May 11 Board Strategy and Planning Committee
- May 23 Academic Council
- June 28 Board of Governors

A summary of the questions and feedback provided on the draft IARP as well as how the feedback was considered and/or incorporated was posted on the planning website for the community.

#### **NEXT STEPS:**

After Board approval, the 2023-2028 IARP will be used to frame and support our integrated planning efforts going forward and inform our enabling plans.

**COMPLIANCE WITH POLICY/LEGISLATION:** Board has the authority to approve strategic plans of the University.

#### **MOTION:**

That, on the recommendation of the Strategy and Planning Committee, the Board of Governors approve the 2023-2028 Integrated Academic and Research Plan.

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#### **SUPPORTING REFERENCE MATERIALS:**

Integrated Academic-Research Plan 2023-2028

**Integrated Academic-Research Plan  
2023-2028**

DRAFT

## Vision, Mission, and Values

The University of Ontario Institute of Technology Act<sup>1</sup> envisioned a new type of university, one focused on offering programs that were innovative and responsive to the individual needs of students and to the market-driven needs of employers. Over the past 20 years, Ontario Tech has embraced this vision with its strategic commitment to being a change-maker and leader in technology-driven research, teaching and scholarship. As the institution enters into its third decade of operation, this commitment is stronger than ever. These Vision, Mission, and Values<sup>2</sup> statements differentiate us from other universities and capture the essence of our potential.

### Vision

**Embracing technology with a conscience to advance knowledge and promote sustainability.**

### Mission

**We equip future leaders to solve complex problems.**

We respond to the needs of students, and the evolving world, by providing superior undergraduate, graduate, and lifelong learning experiences. To this end, ‘what we do’ to achieve our mission and to ‘tell our story’ is guided by a community-focused approach on our strategic priorities:

- **Tech with a conscience:** *Innovating to improve lives and the planet by incorporating technology-enhanced learning strategies, and promoting the ethical development and use of technology for good through intensive research and inquiry.*
- **Learning re-imagined:** *Co-creating knowledge by adapting to the ever-changing educational landscape through the provision of flexible and dynamic learning and research opportunities.*
- **Creating a sticky campus:** *Cultivating student- and community-centric engagement opportunities by encouraging an inclusive culture for our institution through online and on-campus activities.*
- **Partnerships:** *Uncovering innovative solutions for their most pressing problems through purposeful research and collaboration with industry, community, government and academic partners especially as it relates to all facets of global sustainability and well-being.*

### Values

**Ontario Tech is a place where every person belongs and is free to grow their skillsets and mindsets.** We cultivate lasting relationships through:

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<sup>1</sup> See <https://www.ontario.ca/laws/statute/02u08>

<sup>2</sup> Most recent version approved by the Board of Governors on February 25, 2021.

- **Integrity:** *Supporting a culture of trust and belonging by consistently promoting equity, fairness, kindness and ethics.*
- **Inclusion:** *Advancing a learning community where we achieve success by prioritizing reconciliation, valuing diversity and eradicating discrimination and hate.*
- **Intellectual resilience:** *Pursuing excellence in all that we do by respecting different points of view and engaging constructively when exploring ideas and advancing knowledge.*
- **Innovation:** *Inspiring world-changing ideas by re-imagining learning and in so doing, fostering an environment that provokes curiosity, creativity, ingenuity and failure while stimulating growth.*

## Twenty Years and Counting

In 2002, Ontario Tech was established as a differentiated university where students, staff, and faculty were immersed in a technology-enriched learning environment with a commitment to science, technology, engineering, and math (STEM), and professional and career-oriented degree offerings. Our founding mandate required us to be labour market-focused<sup>3</sup> while advancing the highest quality of learning, teaching, research, and professional practice, and a special mission “to provide career-oriented university programs...with a view to creating opportunities for college graduates to pursue a university degree.”

Our updated Vision (i.e., “Embracing technology with a conscience to advance knowledge and promote sustainability”), Mission (“We equip future leaders to solve complex problems”), and Values add to these founding commitments. At twenty years of age, we are emerging as a new role model in higher education – a leading public university and up-and-comer dedicated to being student-, employee-, and community-centric.

There are several key indicators of our growing strengths and reputation. One very salient example is our year-over-year percentage increase in the number of undergraduate student applications. Leading the entire provincial system by a wide margin, Ontario Tech applications jumped more than 33% during the 2021-2022 recruitment cycle, along with a 28% increase in Ontario high school students making Ontario Tech their first-choice university.<sup>4</sup> In January, 2023 data from the Ontario Universities Application Centre once again had us leading in these two categories for the 2022-2023 recruitment cycle. Ontario Tech’s reputation continues to rise as evidenced by being named one of the world’s Top 200 youngest universities<sup>5</sup> and by our demonstrated strong results in various national<sup>6</sup>

<sup>3</sup> See <https://www.ontario.ca/laws/statute/02u08>

<sup>4</sup> See [More students applying to Ontario Tech than ever before | News and announcements \(ontariotechu.ca\)](https://news.ontariotechu.ca/archives/2022/03/more-students-applying-to-ontario-tech-than-ever-before-news-and-announcements)

<sup>5</sup> See <https://news.ontariotechu.ca/archives/2022/03/ontario-tech-cracks-top-200-among-the-worlds-youngest-universities-for-first-time.php>

<sup>6</sup> See <https://news.ontariotechu.ca/archives/2022/10/macleans-2023-university-rankings-affirm-ontario-techs-impressive-reputation-for-a-student-experience-based-on-quality.php>

and international rankings.<sup>7</sup> Our students are winning awards<sup>8</sup> and competitions<sup>9,10</sup> and our researchers are securing major research awards and recognitions.<sup>11</sup>

We have come a very long way in a very short period of time, in part, because we deliberately embrace our research strengths and role in stimulating and enhancing the economy and social fabric from the Region of Durham, Northumberland County, the eastern GTA, and a growing expanse across Canada and other parts of the world. We accomplish this by working closely with university, college, community, and industry partners to sustain the aforementioned objectives and generate new and innovative future-facing opportunities in the post-secondary education and economic sectors.

Ontario Tech is situated in one of the fastest growing areas of the province. We started as a regional university that readily supported the needs of our rapidly changing local populations, employers, and communities. As we enter into our third decade, our reach has stretched around the globe. Our enhanced use of technology (e.g., online and hybrid/blended learning platforms), and growing suite of flexible learning options (e.g., microcredentials, stackable credentials) advances our commitment to accessible post-secondary education while promoting continuous lifelong learning and workforce upskilling no matter where students are situated.

By providing employment, educational, and infrastructure development opportunities, we are maintaining our commitment to revitalize the City of Oshawa's downtown core, supporting development and growth in the north end of the city as well as providing opportunities for international students and scholars. The social, intellectual, and bridging capital provided by our faculty, staff, and students is building resilience across the Region of Durham and Northumberland County and giving much needed support to community organizations in their efforts to address poverty, homelessness, crime, opioid addiction, and quality of life issues.

Through our research (e.g., with an emphasis on energy, digital technology, intelligent manufacturing, environmental sustainability, clean technologies, autonomous vehicles, aerospace, computer science, cybersecurity, forensic psychology, criminology, health and life sciences, dementia care, and much more), we are helping to re-shape the local and provincial economic landscape. The importance of this cannot be overstated as we address past and current challenges in our efforts to build a better sustainable future.

## Looking Back: Turmoil, Turbulence and Tenacity

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<sup>7</sup> See <https://news.ontariotechu.ca/archives/2022/11/ontario-tech-again-ranked-a-top-3-engineering-school-in-ontario-international-universities-survey.php>

<sup>8</sup> See <https://news.ontariotechu.ca/archives/2022/11/ontario-techs-first-ever-cihr-doctoral-research-award-highlights-list-of-new-federal-graduate-studies-funding.php>

<sup>9</sup> See <https://news.ontariotechu.ca/archives/2022/05/tops-in-the-province-ontario-tech-masters-degree-candidate-wins-provincial-three-minute-thesis-title.php>

<sup>10</sup> See <https://news.ontariotechu.ca/archives/2022/01/ontario-tech-teams-earn-medals.-including-a-gold-at-major-business-competition.php>

<sup>11</sup> See <https://news.ontariotechu.ca/archives/2022/09/ontario-tech-researcher-dr.-marc-rosen-awarded-highest-recognition-a-canadian-academic-can-receive.php>



The COVID-19 pandemic created previously unforeseen levels of emotional, mental, and physical discomfort for every person on the planet. The pandemic upended our lives, habits, and traditions.<sup>12</sup> Like it or not, it forced us to re-evaluate every aspect of our university operations and try new things. It accelerated changes that were already underway on our campus, provided us with an opportunity to display a level of organizational agility not seen at our sister institutions, and laid bare our fiscal challenges.

In September 2020, we began the 2021-2023 planning process during the height of the pandemic. Our founding commitment to a technology-enhanced work and learning environment had allowed us to rapidly adapt to using technology to maintain our core business operations with minimal delay. At the outset of COVID-19 there were many of us who wanted to return to the familiar ways of life, work, and learning on our campus.<sup>13</sup> However, with no end in sight to the pandemic, staying connected online gradually became the norm as we all worked tenaciously to engage in our teaching and scholarship activities in the virtual environment.

The disruption caused by the pandemic challenged us to explore new, exciting, previously unforeseen, and spontaneous opportunities. We realized that our success would depend on our ability to value, celebrate, and respect our collective strengths as well as our individual differences. Continuing to collectively rally around our shared priorities was once again crucial if we were to succeed in navigating the emerging and yet to be anticipated opportunities and challenges for post-secondary institutions provincially, nationally, and globally. We knew that staying committed and focused on our four key strategic areas was essential to our success.

The following summary, while not exhaustive, provides a few examples of our achievements during the 2021-2023 planning cycle. Despite (or in spite of) the pandemic, we accomplished a great deal as evidenced by the following.

Aligned with “**Tech with a Conscience**,” Ontario Tech once again earned a gold rating in the North American Sustainable Campus Index.<sup>14</sup> We also added a new interdisciplinary research institute (i.e., Institute for Disability and Rehabilitation Research<sup>15</sup>), and added more research centres (i.e., International Atomic Energy Agency (IAEA)<sup>16</sup> Collaborating Centre, Age with Dignity Campus of Care and Best Practices Research Centre), and chairs (i.e., UNESCO Chair in Hate Studies<sup>17</sup>, Ontario Tech University Research Excellence Chairs<sup>18</sup>). In 2022, with additional resources from provincial and federal sources, researchers at Ontario Tech expanded upon and committed to an extended period of monitoring for traces of the COVID-19 virus in local

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<sup>12</sup> See <https://www.future-ed.org/how-the-pandemic-changed-higher-education/>

<sup>13</sup> See <https://er.educause.edu/articles/2021/4/reimagining-higher-education-the-post-covid-classroom>

<sup>14</sup> See <https://news.ontariotechu.ca/archives/2022/01/top-marks-again-for-ontario-tech-universitys-sustainability-focused-practices.php>

<sup>15</sup> See <https://research.ontariotechu.ca/discover-research/institute-for-disability-and-rehabilitation-research.php>

<sup>16</sup> See <https://research.ontariotechu.ca/discover-research/iaea-collaborating-centre/index.php>

<sup>17</sup> See <https://news.ontariotechu.ca/archives/2022/11/ontario-tech-university-expert-dr.-barbara-perry-appointed-to-major-international-research-chair.php>

<sup>18</sup> See <https://research.ontariotechu.ca/discover-research/research-chairs.php>

wastewater systems.<sup>19</sup> We committed to new undergraduate (i.e., Minor in Indigenous Studies) and graduate (i.e., MA in Social Practice and Innovation) degree program offerings and supported our student, staff, and faculty usage of digital and virtual platforms governed by robust future of learning discussions and future of work policies and pilot programs.

Under “**Learning Re-imagined**” we were extremely nimble in using digital and online resources to deliver our academic programming in new and previously unforeseen ways. It was a team effort requiring cooperation from all of our students, staff, and faculty. Less visible were the supports provided by some key units on campus. For example, the Library expanded its digital collections, offered an increased array of online supports, and introduced some new open access journals (e.g., Journal of Digital Life and Learning, Journal of Educational Informatics)<sup>20</sup> while the Teaching and Learning Centre championed the creation of a growing array of Open Educational Resources<sup>21</sup> (OERs). The Teaching and Learning Centre<sup>22</sup> moreover played a pivotal role in supporting virtually every aspect of academic instruction during this time period, including the provision of assistance to a number of projects funded by the eCampus<sup>23</sup> virtual learning strategy. Our affiliated for-profit-entity Ontario Tech TALENT<sup>24</sup> began to develop and deliver a collection of industry-approved microcredentials to introduce a unique and differentiated lifelong-learning model to bridge the skills gap. We also broadened our degree program offerings (e.g., with the addition of new Bachelor degree programs in Health Administration, Educational Studies, Energy Engineering, Industrial Engineering) and new graduate programs in Business Analytics and AI, Financial Data Analytics, Software Engineering, and Education.

In terms of our “**Sticky Campus**” strategy and our people, we launched the first every demographic survey of our campus populations to gather data to inform current and future equity, diversity, inclusion, decolonization, and accessibility (EDIDA) initiatives. Our efforts in this area were broad, as evidenced by the university joining the national Indigenous and Black Engineering and Technology PhD Project to provide financial support and foster a safe, supportive, equitable and inclusive research and academic environment for Black and Indigenous scholars.<sup>25</sup> On September 30, we recognized National Truth and Reconciliation Day by making it a meeting-free day filled with a series of events to recognize our role in promoting reconciliation through education. In the fall of 2021, Ontario Tech became a signatory on the Scarborough Charter to show its commitment to continuing the dialogue and actions for more inclusive higher education. Ontario Tech also earned a Moose Hide Campaign Ambassador designation in support of a nationwide Indigenous-led grassroots movement to end violence against women and

<sup>19</sup> See <https://news.ontariotechu.ca/archives/2022/04/new-funding-ensures-ontario-tech-researchers-will-continue-to-monitor-covid-19-and-other-indicators-of-health-in-wastewater.php>

<sup>20</sup> See <https://guides.library.ontariotechu.ca/openaccess/journalpublishing>

<sup>21</sup> See <https://learninginnovation.ontariotechu.ca/oer/creating/oer-lab.php>

<sup>22</sup> See <https://tlc.ontariotechu.ca/index.php>

<sup>23</sup> See <https://vls.ecampusontario.ca/>

<sup>24</sup> See <https://ontariotechtalent.ca/>

<sup>25</sup> See [Ontario Tech joins national Indigenous and Black Engineering and Technology PhD Project | News and announcements \(ontariotechu.ca\)](#)



children<sup>26</sup> and the university's Institute for Disability and Rehabilitation Research organized a series of international virtual speaker discussions on the topic of advancing disability rights around the world.<sup>27</sup> With the world experiencing considerable geopolitical turmoil, Ontario Tech established an international emergency bursary to support students from countries experiencing war or environmental catastrophe.<sup>28</sup> In terms of our physical spaces, construction was completed on the award winning Shawenjigewining Hall,<sup>29</sup> creating new and expanded study, work and social spaces for all of our students, staff, and faculty, but more specifically the Faculty of Health Sciences, Ontario Tech Student Union, Mukwa's Den, Student Mental Health Services, and other vital student support services (e.g., Student Accessibility Services, Test Centre). The Faculty of Education also moved into Charles Hall, affirming the university's long-term commitment to finding space and cost efficiencies while at the same time helping to revitalize Oshawa's downtown core. In contrast, we leveraged our outdoor spaces on the north campus location to begin two new traditions – the hosting of convocation on Polonsky Commons and the Chancellor's Challenge, a 5 km walk run event which raised over \$160,000 for student scholarship and bursaries.

In line with “**Partnerships**,” bolstered in part by a generous donation from the estate of Nicholas Sion,<sup>30</sup> Ontario Tech's Brilliant Energy Institute<sup>31</sup> gained momentum as it built upon the energy research and expertise at the university to meaningfully contribute to Canada's leadership in reducing carbon emissions, and to strengthen energy sector outcomes regionally, provincially and nationally. Ontario Tech's and ACE's partnership with FEL Motorsports entered its second year, connecting students to hands-on practical experiences and co-op placements in the auto-racing industry.<sup>32</sup> Throughout 2022, top-secret research led by Ontario Tech<sup>33</sup> took place inside the Innovation Garage at ACE, where experts were developing Project Arrow, a national endeavour to create the prototype for a made-in-Canada zero-emissions electric vehicle. And finally, furthering its commitment to improving lives and the health of the planet, researchers in the Faculty of Social Science and Humanities collaborated with local police forces, community development corporations, and the Canadian Civil Liberties Union to launch a facial recognition technology partnership<sup>34</sup> that could have a significant impact on the future of policing.

The aforementioned summaries paint a picture of an innovative institution that presses itself to excel. Opportunity abounds and when opportunities present themselves, we are willing to embrace them. This, along with our longstanding commitment to STEM

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<sup>26</sup> See <https://news.ontariotechu.ca/archives/2022/04/ontario-tech-prepares-for-upcoming-moose-hide-campaign.php>

<sup>27</sup> See <https://news.ontariotechu.ca/archives/2022/08/ontario-tech-hosting-virtual-speaker-series-to-advance-disability-rights-around-the-world.php>

<sup>28</sup> See [Ontario Tech establishes international emergency bursary | News and announcements \(ontariotechu.ca\)](https://news.ontariotechu.ca/archives/2022/07/shawenjigewining-hall-at-ontario-tech-recognized-with-an-oshawa-urban-design-award.php)

<sup>29</sup> See <https://news.ontariotechu.ca/archives/2022/07/shawenjigewining-hall-at-ontario-tech-recognized-with-an-oshawa-urban-design-award.php>

<sup>30</sup> See <https://news.ontariotechu.ca/archives/2022/12/ontario-tech-universitys-largest-gift-to-date-to-support-research-hub-for-innovative-clean-energy-technologies.php>

<sup>31</sup> See <https://research.ontariotechu.ca/discover-research/brilliant-energy-institute.php/>

<sup>32</sup> See [Ontario Tech's partnership with FEL Motorsports creates exciting hands-on learning opportunities for students | News and announcements \(ontariotechu.ca\)](https://news.ontariotechu.ca/archives/2022/06/ontario-tech-partnership-with-fel-motorsports-creates-exciting-hands-on-learning-opportunities-for-students)

<sup>33</sup> See <https://ace.ontariotechu.ca/project-arrow.php>

<sup>34</sup> See <https://news.ontariotechu.ca/archives/2022/06/facial-recognition-research-and-partnership-could-have-significant-impact-on-future-of-policing.php>

programming and the implementation of a technology-enabled learning environment (or TELE), means that we are viewed differently from other universities within Ontario. We are differentiated – but not as different from other institutions as we were prior to the pandemic.

The pandemic accelerated changes that were already underway on many university campuses around the world. This is because technology fuels just about everything an institution like Ontario Tech needs to do.<sup>35</sup> In 2017, futurists<sup>36</sup> were predicting that by the year 2040, academic instruction in higher education would be almost entirely virtual in nature. Where we once stood alone as leaders in hybrid and online course and degree offerings, others have quickly caught up – albeit not necessarily by choice. The question that we must now answer is how are we going to continue to differentiate ourselves and rise above others in the Ontario university sector amidst growing financial pressures, competition for students, and changing consumer, employer and industry expectations?

## Looking Forward: Trends and Transformations

The emotional roller coaster created by the pandemic appears to be mostly behind us, yet it will have a lasting effect on virtually every aspect of our operations. We have emerged more resilient<sup>37</sup> than ever and we are hitting our stride as an institution. Now is the time to build on our accomplishments and the creativity we displayed over the last two-and-a-half years to develop a bold forward-looking plan, one that moves us beyond our current realities with the goal of rising to the forefront of the post-secondary education sector in Ontario and beyond.

This goal is very ambitious given some of the longstanding and newly emerging fiscal challenges we are currently experiencing. The ongoing financial pressures, created by the imposed 2019 cut to tuition, followed by the ongoing freeze in domestic tuition rates and static grant funding, are growing in magnitude. The grant funding model, moreover, is scheduled to shift to a new, previously untested performance-based funding model with potentially less predictable outcomes. Skyrocketing inflation and rising interest rates, moreover, are reducing our spending power and having a negative impact on our students' cost of living expenses. Rising rental accommodation rates due to low rental unit availability in Oshawa, as well as bottlenecks in the processing of international student study permits and visas, are a few examples of the real and unanticipated barriers for students wishing to pursue their studies at Ontario Tech. These challenges will require all of us – every member of the Ontario Tech community – to accept a role in supporting our students and the sustainable future of our institution.

We must pursue a bold transformation agenda that builds on our unique program offerings and the current momentum of our student demand. This transformation would

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<sup>35</sup> Grajek, S., & the 2022-2023 Educause IT Issues Panel (2022, October 31). Top 10 IT issues, 2023: Foundation Models. *Educause Review*.

<sup>36</sup> See van der Zwaan, G.J. (2017). *Higher education in 2040: A global approach*. Amsterdam: Amsterdam University Press and the University of Chicago Press.

<sup>37</sup> See <https://www.amacad.org/news/post-pandemic-future-higher-education-virtual-convening-american-academy-affiliates>

see us growing to 18,000 students by 2030 to meet the needs of the growing GTA university-aged population and international demand for STEM and professional programs. The growth will provide revenues needed to cover the costs of expansion (including enhanced academic and non-academic student, staff, and faculty support services) as well as invest in our priorities and differentiation. Growing our total student population to 18,000, with a purposeful mix of undergraduate and graduate programs will transform us into a comprehensive research intensive institution, and change our place in the higher education sector to one that has greater influence and impact in research and learning outcomes. Such growth will rely on our ability to differentiate ourselves as a preeminent STEM institution and as a destination of choice for top notch students, staff, and faculty.

The technologies and strategies we immersed ourselves in to adapt to the realities of teaching, conducting research and learning during the pandemic are now permanently embedded in our everyday lives at Ontario Tech. “Learning from everywhere”<sup>38</sup> is the new norm and students will demand the flexibility to choose between in-person and online courses. They will also expect a variety of credentialing options (e.g., microcredentials, stackable credentials, courses, degree programs, etc.) and a flexible academic calendar allowing for multiple admission points throughout the calendar year.<sup>39</sup> With technology supporting such changes, we’ll increasingly have the opportunity to marry the inclusive elements of remote learning with the social benefits of being on campus making the traditional classroom more accessible, inclusive and engaging.<sup>40</sup> This will require us to continue to build and expand upon our virtual and digital infrastructure, while at the same time determining the right balance between in-person and virtual services. This will tie directly into the strong and lasting demand among faculty and administrative staff to continue to have flexible work-at-home and other virtual work options.<sup>41</sup> Suffice it to say that post-pandemic, Ontario Tech and all other institutions of higher education cannot return to their old way of doing business and expect to survive in an era where “optionality” is the new norm.<sup>42</sup> **We will grow our proportion of online and hybrid course offerings and use “tech with a conscience” to “re-imagine learning.”**

It is easy to see that enormous change is on the horizon, yet that change will not displace the inherent value of the on-campus experience. Engagement and performance in the higher education environment is greatly influenced by a sense of safety and belonging and it is this aspect of our everyday lives that suffered the most during the pandemic.<sup>43</sup> We have a strong sense of community at Ontario Tech and it allows us to thrive on a daily basis.

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<sup>38</sup> El-Azar, D. (2022). 4 trends that will shape the future of higher education. *World Economic Forum*. See <https://www.weforum.org/agenda/2022/02/four-trends-that-will-shape-the-future-of-higher-education/>

<sup>39</sup> Busteed, B. (2021). Pandemic-to-permanent: 11 lasting changes to higher education. *Forbes*. See <https://www.forbes.com/sites/brandonbusteed/2021/05/02/pandemic-to-permanent-11-lasting-changes-to-higher-education/?sh=431be85c452f>

<sup>40</sup> Curtin, R. (2021). Reimagining higher education: The post-COVID classroom. *Educause Review*. See <https://er.educause.edu/articles/2021/4/reimagining-higher-education-the-post-void-classroom>

<sup>41</sup> Busteed, B. (2021). Pandemic-to-permanent: 11 lasting changes to higher education. *Forbes*. See <https://www.forbes.com/sites/brandonbusteed/2021/05/02/pandemic-to-permanent-11-lasting-changes-to-higher-education/?sh=431be85c452f>

<sup>42</sup> Selingo, J. (2022). How the pandemic has changed higher education. *Future Ed*. See <https://www.future-ed.org/how-the-pandemic-changed-higher-education/>

<sup>43</sup> Curtin, R. (2021). Reimagining higher education: The post-COVID classroom. *Educause Review*. See

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Facilities such as our Library, Hunter’s Kitchen, and the Campus Recreation and Wellness Centre are key activity hubs. By continuing to invest in research aimed at understanding the demographics of our campus populations – our students, staff, faculty, alumni and community stakeholders – we will be able to build upon this strong sense of belonging to create an environment that is inclusive and welcoming of all. This will require a heightened commitment to advocacy and philanthropy such that we may continue investing in scholarships, physical assets (i.e., upgrading existing and adding new buildings and technological infrastructure) and programs in response to the most pressing and acute needs of our students, staff and faculty. **We will continually build and evolve the “sticky campus” experience.**

Amidst public concerns about the growing ineffectiveness of universities to produce career-ready graduates<sup>44</sup>, a key to differentiating ourselves from other post-secondary education institutions includes staying true to our founding roots of being a STEM institution that offers credentials that are labour market-focused and career-oriented. However, it is time for us to take this commitment to new heights. We must and we will focus on expanding our existing co-operative education and career services programming. Our efforts must be student centric, providing opportunities for all of our learners to define a personalized approach to their education through participation in in-person and virtual experiential learning experiences (e.g., co-op placements, internships, practicums, and work-integrated learning opportunities). Engagement in world-class research projects is also an option, thanks to growing research intensity across the institution. We will grow existing internal (i.e., bringing together cross-Faculty curricular and support unit initiatives) and external partnerships and establish new ones to achieve this objective, as well as to support our growing investments in research and philanthropy. Accessing our growing alumni base and leveraging our technological expertise will be key elements of our partnership strategy. **We will continually grow our “partnership” base.**

Attaining a goal of 18,000 students will take considerable time and effort. We will intentionally strive, moreover, to ensure that we have a diverse and appropriate mix of undergraduate and graduate, domestic and international, and full-time and part-time students. We will also continue to invest in retaining students and supporting them from the moment they begin their programs of study until graduation and beyond as lifelong learners and alumni.

All of this will require **every** member of the Ontario Tech community to commit to a spirit of teamwork, continuous improvement, and excellence in all that we do. This includes envisioning ourselves as national leaders in teaching and research excellence and innovation while also intentionally contributing to the social and economic needs of the communities that we serve. Our ability and willingness to work effectively and in partnership with one another, as well as industry, community, government, and other academic partners will underpin our success in this domain.

Moving forward, staying focused on a combined growth-differentiation agenda aligned

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<sup>44</sup> Snyder, B.R., & Thorp, H. (2022, December 15). Universities can’t do everything – they’re pulled in many directions. A refocus on teaching is in order. *Chronicle of Higher Education*.



with our core strategic priorities (i.e., tech with a conscience; learning re-imagined; sticky campus; partnerships) while adapting to a new post-pandemic reality is crucial. In doing so, we will be data driven – constantly evaluating the value of our efforts and holding ourselves capable in a constrained fiscal environment. We will grow our revenues, be efficient in our costs and purposefully invest in our priorities. At the same time, we will continue to be accountable in ensuring that our graduates are employable, and that the generation, analysis, retention, and meaningful translation of our research efforts support the greater good of society. Importantly, as we move into our next decade of existence, we will continue to envision ourselves as a growing community hub – a place where people will come together to meet and engage in social and cultural activities that reflect community needs.

This Integrated Academic-Research Plan has an important role in keeping us collectively focused to realize a sustainable future for Ontario Tech. It also aligns our activities with our vision, mission, values, strategic priorities, and resources. This is exceptionally important during periods of prolonged fiscal restraint such as the one that we have been experiencing now for some time. Our fiscal uncertainty is further complicated by the broader degree granting privileges now found within the province’s colleges as well as a growing number of industry-based education and training programs. We are being pressed to do more with less while also being held to greater levels of accountability by government and society in general.

Higher education has changed and will continue to change for sometime to come. We have a lot of work to do to stay relevant and competitive in this sector, yet opportunity abounds. Let’s lead the way by embracing this opportunity, being leaders in innovative scholarship, and continuing to build an environment in which everyone can engage in this journey through collaborative and collegial dialogue.

## Creating the Plan

Building on previous annual planning efforts, and the determination and successes of our past and present administrative leaders, faculty, staff, students, and alumni, this plan assists us in staying focused as we aspire to new levels of accomplishment and achievement in four key strategic areas:

- Tech with a conscience
- Learning re-imagined
- Creating a sticky campus
- Partnerships.

This 2023-2028 Integrated Academic-Research Plan (IARP) is a five-year plan that charts our course towards our ultimate goal of being a preeminent STEM institution. The IARP is the anchoring planning document that guides other initiatives in place or underway at the university. It works in tandem with the already existing Ontario Tech *Driving the Future with Research Excellence: Strategic Research Plan 2020-2025* and it drives our year-over-year budgeting and capital planning processes.

This document aligns our key strategic areas with explicit commitments (or goals) and the actions required to achieve them. It is informed by our previous integrated plans as well as the multiple annual plans generated by Ontario Tech's academic and administrative units. It aligns with our Vision, Mission, and Values statements and it follows the short-term, annually evaluated rolling plan format first introduced in 2019. This allows us to commit to doing "fewer things better" and to be more action oriented. It also affords the opportunity to implement an annual review and evaluation cycle to determine the success of our previously identified actions, as well as the opportunity to adjust to changing resource realities. It is intentionally brief.

This year's planning exercise began with members of the Ontario Tech community being invited to engage in planning activities at the unit level. The process was led by our academic and administrative leaders who worked with their colleagues to evaluate the progress made on the action items contained in their 2021-2023 unit level plans. The evaluation processes are a critical step in identifying what actions have been completed, remain in progress, or have yet to be addressed. From there, each unit was positioned to identify what previously identified actions would carry forward into and what new initiatives might be included in their unit plans.

Following the completion of individual unit plans, in late November, 2022 a day long retreat with all academic and administrative unit leads was held to identify key points of intersection (or integration) between the various plans. Thereafter an Executive Summary version of this document was drafted and used as the basis for university-wide town hall sessions in February, 2023. The Executive Summary version which will be available to those outside the institution complements this version of the plan which is intended for internal use only.

Before reading the remainder of this document it is important to note that even though these key strategies are sequentially presented, the commitments and anticipated outcomes associated with each are interconnected and therefore not mutually exclusive. Moreover, these strategies and the bulleted lists that follow are devoid of any order of priority and may not reflect the full diversity of activities happening within the university. This is because plans like this one are prone to expressing our common goals and objectives while inadvertently understating the tremendous contributions that each and every member of our university community makes on a daily basis. It is also important to explicitly recognize this shortcoming while expressing our sincere hope that every Ontario Tech community member will see their day-to-day contributions reflected within this document. Additionally, and perhaps most importantly, we hope to accomplish what we have outlined in this document so that we may continue to tell our story.

## **The 2023-2028 Integrated Academic-Research Plan**

This plan, including our goals, objectives, commitments, and actions, necessarily aligns with Ontario Tech's four key strategic directions. In each section that follows, a brief statement on what we aim to accomplish, our commitments (or goals), and the actions we will employ to accomplish them is included.

## **Tech with a conscience:**

### **Innovation, impact, and the social and ethical implications of technology**

**We aim** to improve the lives of humans and the planet through the ethical application of technology. It's a key component in our teaching and learning practices, administrative processes, and innovative research projects.

#### **Our Commitments**

- Intentionally differentiate ourselves as an institution committed to using technology by investing in, and utilizing, an expanded array of technological platforms and assets in research and teaching
- Create core teaching and research facilities that are purposeful and scalable
- Deliberately examine and question the use, application, social and ethical implications and impact of technology on everyday life
- Commit to being national leaders in the conversation pertaining to the future of energy, applied bioscience, environmental sustainability and technology in Canada

Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2028 we have:

- Created and expanded “clusters of excellence” (i.e., including faculty, staff, students, alumni, community partners, industry and global scholars) to add to and build on existing areas of research strength, while continuing to support the establishment of research chairs and research institutes/centres
- Fostered societal awareness amongst our students by providing in-program opportunities to study the real-world impacts and ethics of their field.
- Expanded student, staff, and faculty usage of digital/virtual platforms governed by robust policies and processes that are guided by key principles pertaining to diversity, inclusion and belonging
- Reached beyond our campus walls to establish new advisory boards and/or industry consortia to guide complex interdisciplinary conversations and community-based research and experiential learning initiatives pertaining to technology and its promise for the future, as well as its challenges

## **Learning re-imagined:**

### **Learner-centred educational options**

**We adapt** to the ever changing educational landscape by experimenting with the most effective ways to deliver flexible and dynamic student-centred learning, giving more choices to more people.

#### **Our Commitments**



- Provide flexible and personalized approaches to the student experience to create opportunities to “learn from everywhere”
- Embrace, engage and support students across the full student life cycle, from the time they apply to a program through completion of it and beyond as alumni
- Re-invent learning by defining and constructing flexible and innovative high quality pedagogical practices that combine technological solutions with on-campus and beyond-campus classes and experiential components
- Focus on being leaders in pedagogy, andragogy, and technology-related research and scholarship that is learner-focused

Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2028 we have:

- Developed and launched at least one (1) fully online degree program per academic faculty to access and meet the needs and expectations of newly emerging student markets
- Supported differentiated learning by ensuring a mixture of in-person, online, hybrid (including flexible hybrid) and asynchronous course options, while simultaneously committing to enhancing learner engagement
- Achieved at least a quarter of all undergraduate students participating in work integrated learning opportunities, including co-operative education, internships, and practicums and entrepreneurial activities
- Strengthened student learning experiences by maintaining a judicious student to faculty ratio, and by prioritizing course instruction by full-time faculty members
- Developed and offered a greater number of newly emerging “for credit” offerings (e.g., micro-credentials, stackable credentials)
- Designed and incorporated flexible approaches to the scheduling, structuring and formatting of on-campus and virtual program offerings
- Provided enhanced upskilling, reskilling, and training opportunities and supports for instructors
- Developed and implemented new methods of assessment that clearly align with defined learning outcomes and desired learner competencies while at the same time building resilience against emerging technologies and the challenges they create with regard to academic integrity
- Provided students with flexible learning by offering an open (or build your own) degree program
- Increased usage of existing (i.e., simulation, gaming, AR/VR/XR) and evolving (i.e., artificial intelligence) capabilities, technological platforms and assets to support student learning, engagement, and success
- Increased the development, creation, production, adaptation, adoption and usage of OERs in each of our Faculties
- Increased enrolment in a suite of increasingly diversified Continuous Learning offerings

## **Creating a sticky campus:** **A place to make lasting connections**

**We promote** positive social change and encourage an accessible, equitable, diverse, and inclusive culture for our campus community.

### **Our Commitments**

- Create new campus spaces and experiences at our downtown and north locations, in combination with our virtual and technological assets, to define new and unique learning and work environments
- Use technology to provide personalized student, staff, faculty, alumni and community experiences
- Commit to being an educational and social leader in the community
- Celebrate and promote diversity, inclusion, belonging and accessibility in all that we do

Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2028 we have:

- Achieved a baseline response rate of at least 30% on our institutional student, staff, and faculty self-identification survey to allow us to report on our student, staff, and faculty demographics
- Progressed towards a student population mix more reflective of the system medians related to the proportion of graduate students, and of international students.
- Strengthened undergraduate retention rates between Year 1 and Year 2, and Year 2 to Year 3 of their studies
- Achieved our annual intake targets for undergraduate, Masters, and PhD enrolments
- Supported student persistence and success evidence through higher participation rates in transition programming (e.g., orientation events, student supports, etc.)
- Continued to establish a strong and experienced campus community through high annual employee retention
- Continued our commitment to practical and interactive learning by maintaining space efficiency targets based on COU benchmarks for instructional space to overall student FTEs
- Hired a new Assistant Vice-President (Diversity, Inclusion and Belonging) to inform forward thinking university initiatives for students, staff, and faculty
- Constructed new or reconstructed existing capital spaces to support faculty, staff, student, and community educational, research, and service needs
- Reimagined existing physical spaces (i.e., indoor and outdoor) in combination with virtual platforms to create dedicated meeting, recreational, and social spaces and social hubs
- Invited and engaged with students on an ongoing basis to deliberately gather up-to-date and informed perspectives on their experiences, desires and career aspirations

- Supported student recruitment, persistence and success through continued investments in the Registrar's Office, undergraduate and graduate student Academic Advising, the use of AI driven analytics (e.g., early alert systems), and dedicated undergraduate (e.g., UPREP, LEAP) and graduate student support (e.g., Grad Pro Skills) programming
- Supported the mental and physical health needs of our students, staff, and faculty via the provision of enhanced health and well-being programmatic supports
- Acted on the Truth and Reconciliation Commission's Calls to Action in support of Indigenous students and the local Indigenous communities
- Welcomed greater participation from members of our local communities and region via age- and interest-specific programming (e.g., Junior Ridgebacks, Age-Friendly University initiatives) and community-specific needs
- Introduced and implemented new orientation, mentorship, and leadership programs for our faculty, staff, and students
- Expanded our commitment to sustainability through ongoing and new energy and waste reduction initiatives

## **Partnerships:**

### **Meaningful connections with our local and global communities**

**We help** industry, community, government, and academic partners be more effective by bringing them together with students and researchers to uncover innovative solutions for our partners' most pressing problems.

### **Our Commitments**

- Focus on strengthening and expanding current partnerships, philanthropy efforts and community connections to support student learning and employment opportunities, academic programs, and research priorities
- Establish dynamic, synergistic partnerships with government, community, and alumni as a differentiator for Ontario Tech
- Build our international reputation by drawing in partners and researchers from around the world

Attainment of these goals will be measured against actions that contribute to making Ontario Tech a great place to work, study, and play. We will know if we are on track if by 2028 we have:

- Enhanced alumni engagement through a variety of activities, opportunities and partnerships
- Scaled up Ontario Tech TALENT Inc. in conjunction with corporate partners and developed a business model to help our students and all of our employees upskill or reskill to ensure or enhance job-readiness
- Leveraged our career-oriented programs to establish a growing number of partnerships with small- and medium-sized local businesses and industries to support experiential and work integrated learning opportunities

- Established and nurtured respectful, collaborative connections with local and regional Indigenous communities
- Set up satellite research and partnerships offices
- Increased the number of students enrolled in collaborative programs offered between Ontario Tech and other universities and colleges, including international exchange programs
- Established new international partnerships with universities renowned for their technologically-oriented research and academic programs
- Increased the number of university-industry research chairs and institutes
- Increased the number of Ontario Tech-lead pan-university partnership agreements with industry, new startup companies, employers, community partners, and collaborative international research teams
- Experienced an increase in research granting success from funding sources both within and from outside Canada

## Tracking Our Success

As part of evolving our integrated planning processes at the University we will be creating an Institutional Metrics report card that identifies specific metrics aligned with the goals we have set out for ourselves. For each metric we will have values, definitions and targets that we want to achieve to demonstrate how we are progressing towards our goals. Dashboards for all our IARP metrics will be created and reported on annually to our community. Performance against plan will be assessed and targets will be revised as required based on progress to date and where we want to be by the end of the planning period. The institutional metrics report card will provide opportunities to reflect on our successes and strategies as well as factors that impacted our progress.

## Conclusion: Looking Toward a Sustainable Future

Ontario Tech is continuing to grow, expand, and mature into the promise its founders envisioned when it was established in 2002. It has always been a technologically forward-looking institution characterized by innovation, entrepreneurship, and a strong commitment to the betterment of society and the planet.

With the pandemic growing ever more distant in the rear-view mirror, a new normal is emerging on the road ahead. We cannot return to our old way of doing business and expect to survive in an era where choice and innovation is the new norm. We must expand our virtual and digital infrastructures to create flexible options for our students, staff, and faculty while at the same time supporting in person services and activities to strengthen and grow our already strong sense of community spirit. With intention, we must pursue a bold transformational plan – one focused on a differentiated program mix and growth in student numbers - to ensure a sustainable future for Ontario Tech.

This plan articulates what we aim to do, but it does not define how we are going to get there. To fulfill our priorities, we need a grassroots “all in” approach, to bring the plan to

life, and commit to working differently and pushing the boundaries of the possible. Through our enabling plans we will articulate how we get there from here. This will require each and every member of the Ontario Tech community – students, staff, faculty, alumni, community stakeholders and partners – to collectively engage and contribute on an everyday basis. In doing so, we will hold ourselves capable and pursue our goals with kindness, integrity, and respect. It is with our collective efforts that we will succeed and build on the solid foundation that we have already created and push Ontario Tech towards a bright, sustainable future.

This plan builds on our rapidly rising reputation as a dynamic, conscientious, and innovative technological leader in the province's higher education sector. We want to climb to the forefront of the post-secondary sector in Ontario and establish ourselves as an employer of choice and destination of choice for students, scholars, industry partners, and members of our community. We have a lot to offer and we want everyone to know about us. If we are to achieve this, we must commit to telling our story by excelling in all that we do.

As we enter into our third decade of operation, we now more than ever need to welcome faculty, staff, students, and the greater community to engage in strategic education and research initiatives with the aim of building a better and brighter future for all. Importantly, Ontario Tech is growing and diversifying to include students, staff, and faculty from around the world. Together, through an overt appreciation of our differences, products of our individual backgrounds, world views, and choices we are motivated to find solutions to complex societal problems that can serve as catalysts for improvement and change within our local and global communities. Within this planning cycle, we are confident that we will realize our goals through hard work and the implementation of the commitments articulated herein.

## Contacts

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# BOARD REPORT

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**SESSION:**

**Public**   
**Non-Public**

**ACTION REQUESTED:**

**Decision**   
**Discussion/Direction**   
**Information**

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Dr. Lori Livingston, Provost and Vice-President, Academic  
Sarah Cantrell, AVP Planning and Strategic Analysis

**SUBJECT:** Institutional and SMA3 Metrics Annual Report

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**BACKGROUND/CONTEXT & RATIONALE:**

At its June 2022 meeting, the Board approved the proposed set of institutional metrics that would provide a basis for the University to track its progress towards its strategic goals as outlined in the 2021-2023 Integrated Academic and Research Plan. At the same meeting, a commitment was made to engage in a process throughout the fall of 2022 to develop and recommend meaningful targets to achieve for each metric that would culminate into an Institutional Metrics Annual Report dashboard. The Institutional Metrics Annual Report is part of evolving the integrated planning framework by systematizing the accountability of our progress towards our plans. As part of this accountability, in collaboration with the Vice-President Research and Innovation, metrics to illustrate progress towards achievement of goals outlined in the Strategic Research Plan will be developed in 2023-2024.

In addition to the Institutional Metrics Annual Report, the Strategic Mandate Agreement 2020-2024 (SMA3) Annual Report is included to demonstrate the University's achievement to target on the Ministry of Colleges and University's performance metrics. Each year the University validates the data, assesses risks for each of the metrics, and adjusts where necessary any of the metric weightings for future years to minimize any potential funding loss. The 2022-2023 year marks year three of five in the SMA3 reporting cycle. Performance funding gains or losses for years 1, 2 and 3 of SMA3 are notional in nature as MCU decoupled target achievement and performance funding due to the impact of the pandemic. For years 4 and 5, performance funding will be recouped and any funding loss or gains through the annual evaluation process will impact the University's performance grant funding envelope.

We are pleased to present to the Board of Governors the 2022-2023 Institutional Metrics and the SMA3 Metrics Annual Report dashboards which illustrate progress towards our 2021-2023 Integrated Academic and Research Plan and our year three achievement of our SMA3 targets as reported to the MCU. The Report was shared with Strategy and Planning Committee on May 11, 2023.



**CONSULTATION:**

Proposed institutional metric targets were developed after consultation with Academic Council, Board Strategy and Planning, SLT and ALT members, key university stakeholders via email, and meetings with area Directors throughout Fall 2022. In addition, the Faculty Association (via Joint Committee) was provided with a summary of the target setting process to date in December 2022.

Academic Council and Board Strategy and Planning were provided with the Institutional Metric and SMA3 Annual dashboards for information at their May meetings.

**NEXT STEPS:**

Update institutional metric dashboard and SMA3 dashboard/results annually and provide a report to Academic Council and Board by June of each year.

Develop metrics and a dashboard for the 2020-2025 Strategic Research Plan as part of the annual reporting process to Academic Council and Board for June 2024.

**SUPPORTING REFERENCE MATERIALS:**

Institutional Metrics 2022-23\_final for Board June 28.pdf

SMA Overview\_2022-23\_final for Board June 28.pdf



# 2022-23 Report on Institutional Metrics

April 2023



# Ontario Tech University Metrics

## Integrated Academic-Research Plan – Strategic Priorities

### Tech with a conscience:

Innovating to improve lives and the planet by incorporating technology-enhanced learning strategies, and promoting the ethical development and use of technology for good through intensive research and inquiry.



### Learning re-imagined:

Co-creating knowledge by adapting to the ever-changing educational landscape through the provision of flexible and dynamic learning and research opportunities.



### Creating a sticky campus:

Cultivating student- and community-centric engagement opportunities by encouraging an inclusive culture for our institution through online and on-campus activities.







### Partnerships:

Uncovering innovative solutions for their most pressing problems through purposeful research and collaboration with industry, community, government and academic partners especially as it relates to all facets of global sustainability and well-being.



# Ontario Tech University Metrics

		IARP Priority Alignment			
		Tech with a Conscience	Learning Re- Imagined	Sticky Campus	Partnerships
					
<b>Comprehensive Access Institution</b>					
Student mix (Actual and Proportion)	●		●	●	●
Enrolment Targets to Actuals	●		●	●	
Demographics of our community		●		●	
Transfer students from universities and colleges	●		●		
Student retention rates	●			●	
Student participation in Transition activities	●		●	●	
LEAP participation	●		●	●	
Employee Retention (Academic and Non-Academic)	●			●	
<b>Transformational Education &amp; Research Excellence</b>					
Student Participation in Work Integrated Learning Opportunities	●		●		●
Partnerships supporting Work Integrated Learning	●		●		●
Students graduating with courses on Ethics or Impact	●	●	●		
Courses taught by FT faculty	●			●	
Student: Faculty ratios	●		●	●	
NSSE results: overall student satisfaction	●		●	●	
NASM/FTE ratio in instructional categories	●		●	●	
Flexible course formats offered (online or hybrid)	●		●		
Research Chairs & Institutes	●	●			●
Research Sponsorship	●				●
Alumni Engagement	●			●	●
<b>Economic Stewardship</b>					
Net Income/Loss Ratio	●	<div style="border: 1px solid black; padding: 5px;"> <p>Legend:</p> <ul style="list-style-type: none"> <li>● - On Track/Meeting Target</li> <li>● - Progressing towards target</li> <li>● - Behind/Below target</li> </ul> </div>			
Viability Ratio	●				
Primary Reserve Ratio	●				
Net Operating Revenues Ratio	●				
Credit Rating	●				

# Ontario Tech University Metrics

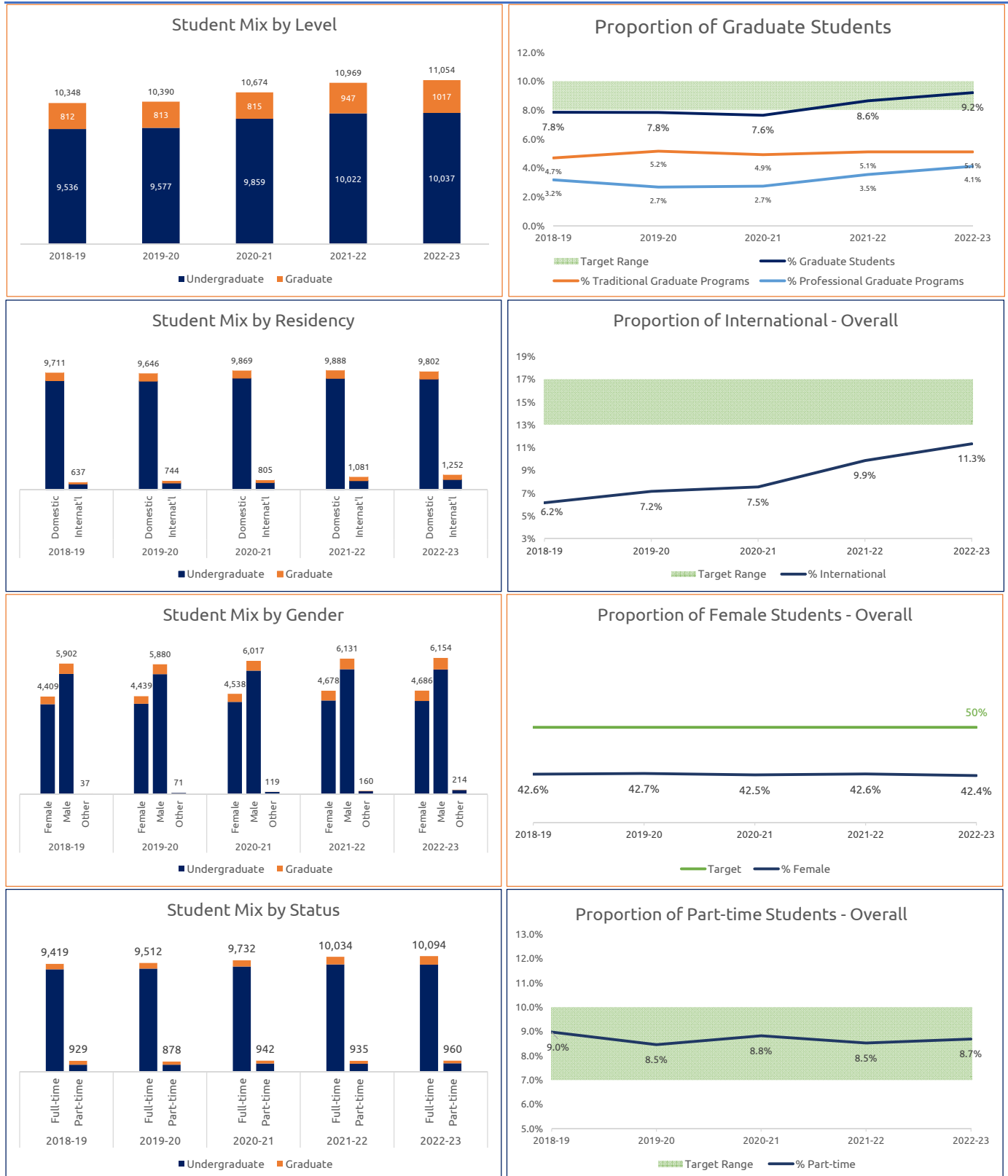
[Return to Metrics Listing](#)

Metric: **Student Mix - Overall**

Definition: Number and proportion of official student enrolment as reported by Ontario Tech University to the Ministry of Colleges and Universities. Overall Enrolment numbers include GR, PR and UG.

Data Source: University Statistical and Enrolment Report (USER) (Fall Report)

Target: Proportion of Graduate Students: between 8-10%  
 Proportion of International Students: 13-17% (15% by end of SMA) Proportion of Part-Time Students: 7-10%



# Ontario Tech University Metrics

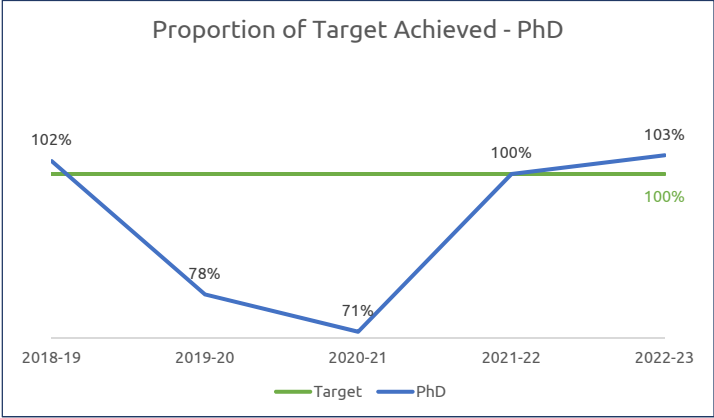
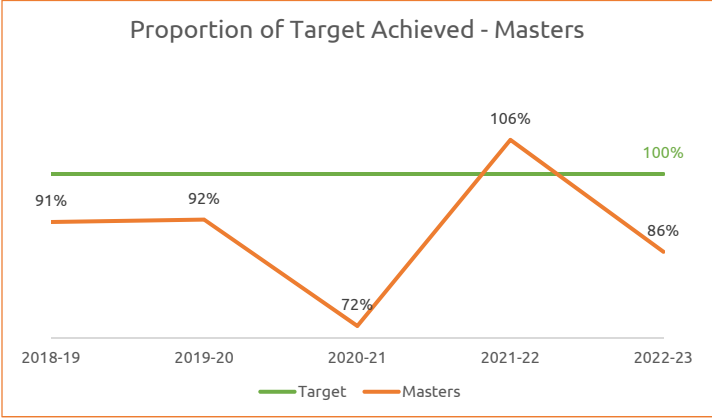
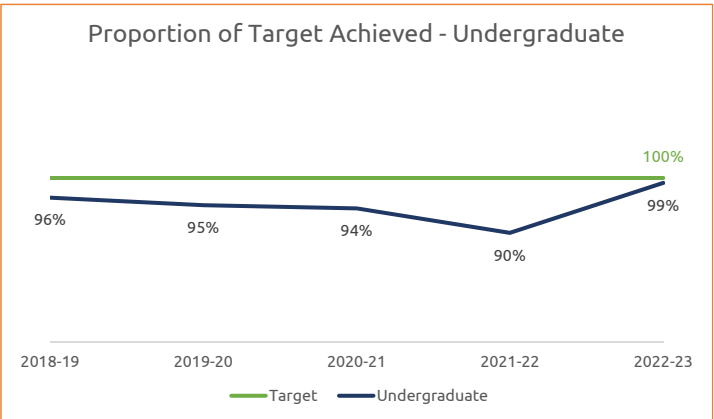
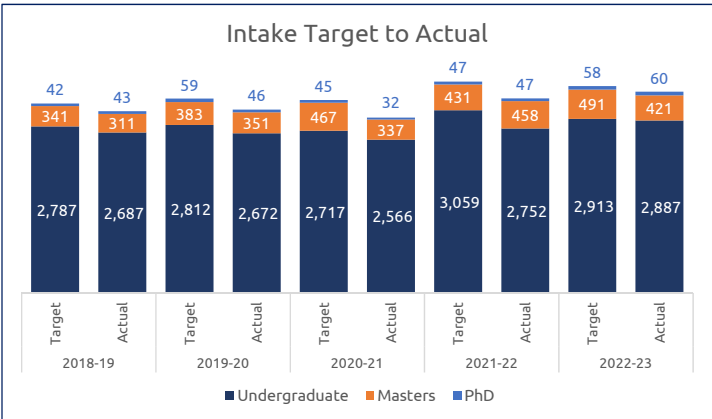
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**Metric:** Enrolment Targets to Actual

**Definition:** Comparison of the established Day 10 Enrolment Targets with the Day 10 Actual Enrolment, presenting the proportion of target achieved for Undergraduate, Masters, and PhD enrolment.

**Data Source:** Enrolment Targets, and Day 10 Enrolment Reports (UG: Fall, GR: Annual).

**Target:** 100% of Enrolment Targets Achieved



# Ontario Tech University Metrics

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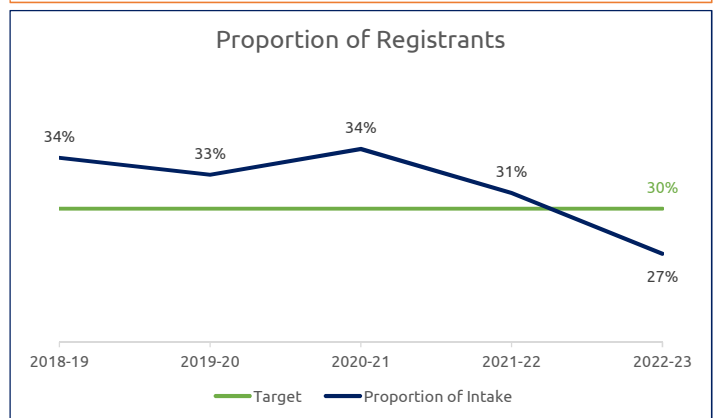
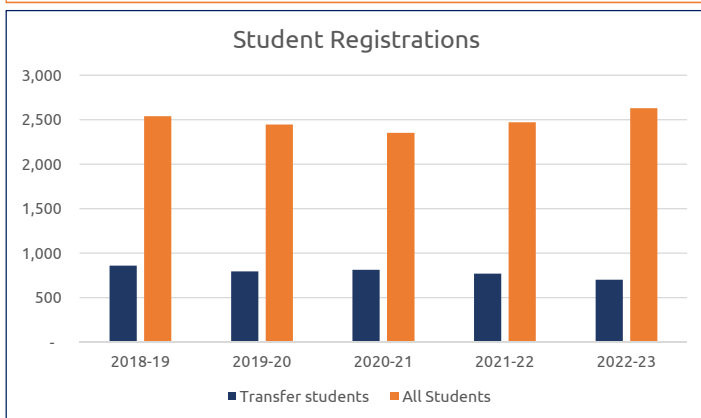
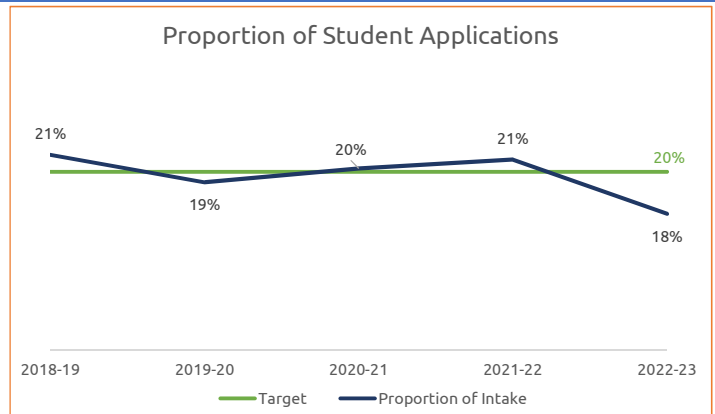
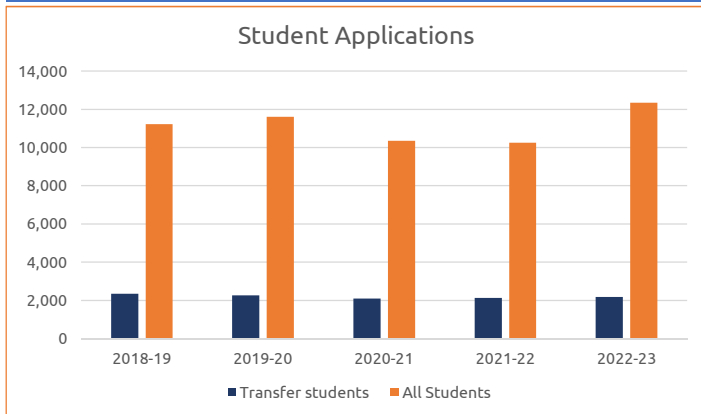
**Metric:** Transfer students from college and university

**Definition:** Number and proportion of UG transfer student applicants (from either another university or college) to overall new UG applicants.

Number and proportion of UG transfer student registrants (from either another university or college) to overall UG registrants.

**Data Source:** Day 10 Applicant Tracking Report and Official Fall USER report

**Target:** Maintain 30% of applications and 20% of registrations



# Ontario Tech University Metrics

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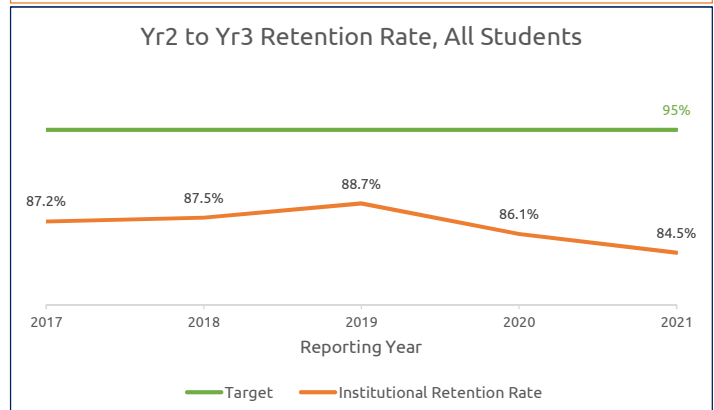
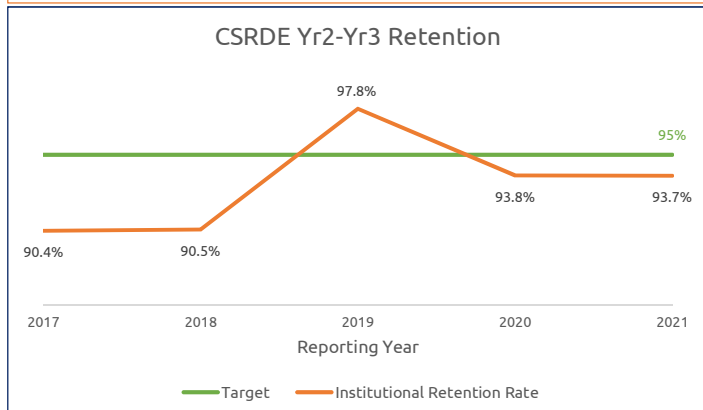
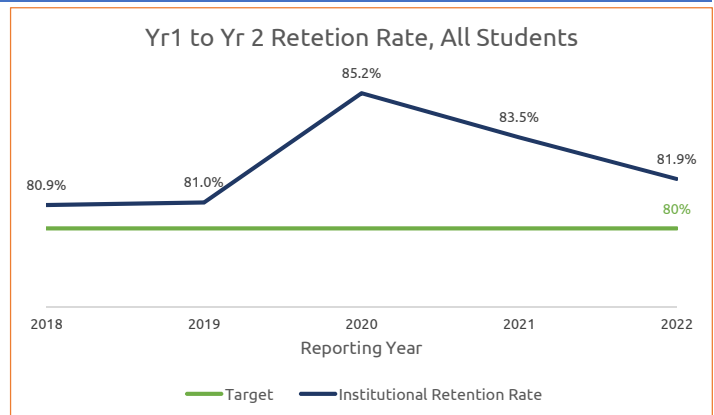
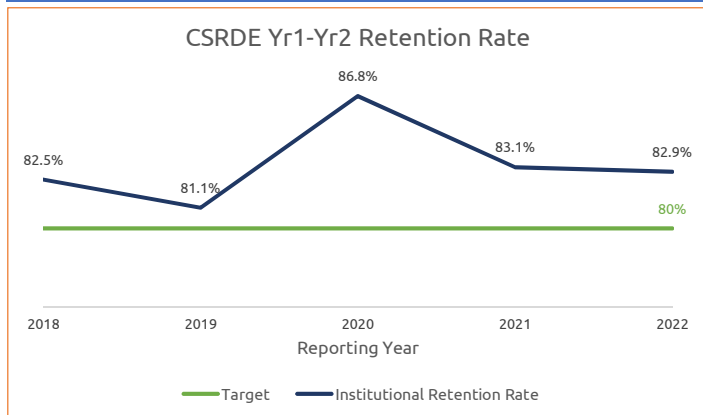
**Metric: Student Retention Rates**

**Definition:** Percentage of students who study in a given Fall term and have continued to study at the same institution in the next Fall term.

- CSRDE Year 1 to Year 2 Retention rates are based on first-time, full-time undergraduate students who commenced studies in the previous year and have continued to study at the same institution in the reporting year.
- All Year 1 to Year 2 Retention rates are based on all incoming Year 1 students who commenced studies in the previous year and have continued to study in the same institution in the reporting year.
- Applicable methodology applied to Year 2 to Year 3 Retention rates.

**Data Source:** Official Fall USER Reports

**Target:** CSRDE Year 1 to Year 2 Retention Rate: 80% or above  
 CSRDE Year 2 to Year 3 Retention Rate: 95%



# Ontario Tech University Metrics

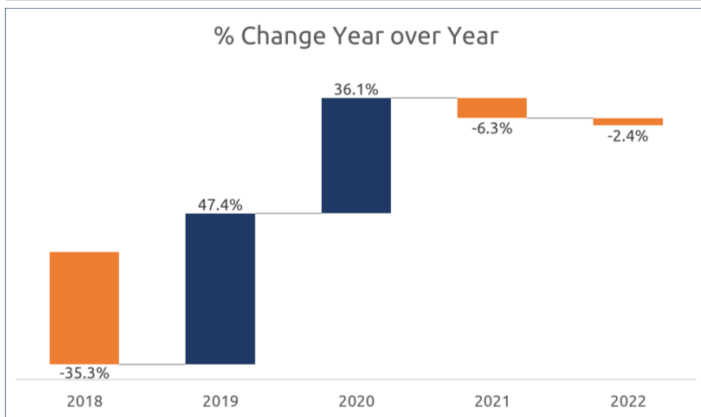
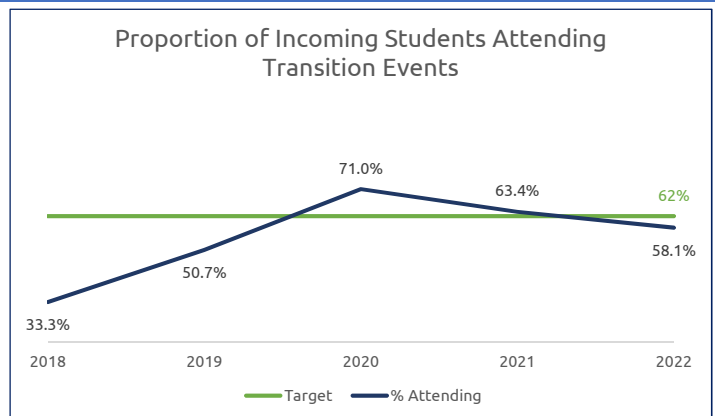
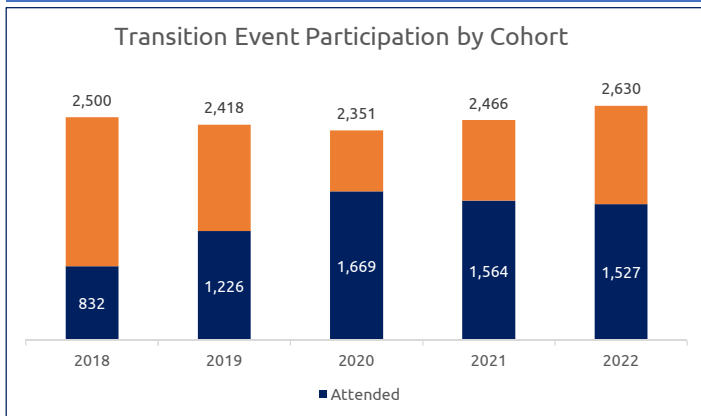
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**Metric:** Participation in New Student Transition Events

**Definition:** Distinct count and proportion of incoming UG students who attended one or more Transition Events (include Ridgeback Orientation, Ridgeback U, & MyStart)

**Data Source:** Students Life event attendance tracking reports, and overall new UG student counts (Fall USER)

**Target:** Proportion of Incoming Students (cohort) attending one or more Transition Events: 62% or above



MyStart is a series of online modules and live workshops that provide new students with a head start (both academically and an orientation to services and supports) in their university career. The program is offered throughout July and August to help students prepare for classes in September.

Ridgeback Orientation is the university's largest transition program specifically geared toward students who are beginning classes in September. This is a chance for students to connect with other new students, get familiar with their academic program, and get to know their way around campus. Scheduled activities provide fun and exciting opportunities for all incoming students to learn about the university's vibrant campus culture.

Ridgeback U is a yearly event that happens in July for incoming first year students that provides them and their supporters with the opportunity to experience the Ontario Tech community and prepare for September.

**Notes:**  
 2019 and prior: Orientation and MyStart were held fully in-person only.  
 2020: Orientation and MyStart were held fully online only.

# Ontario Tech University Metrics

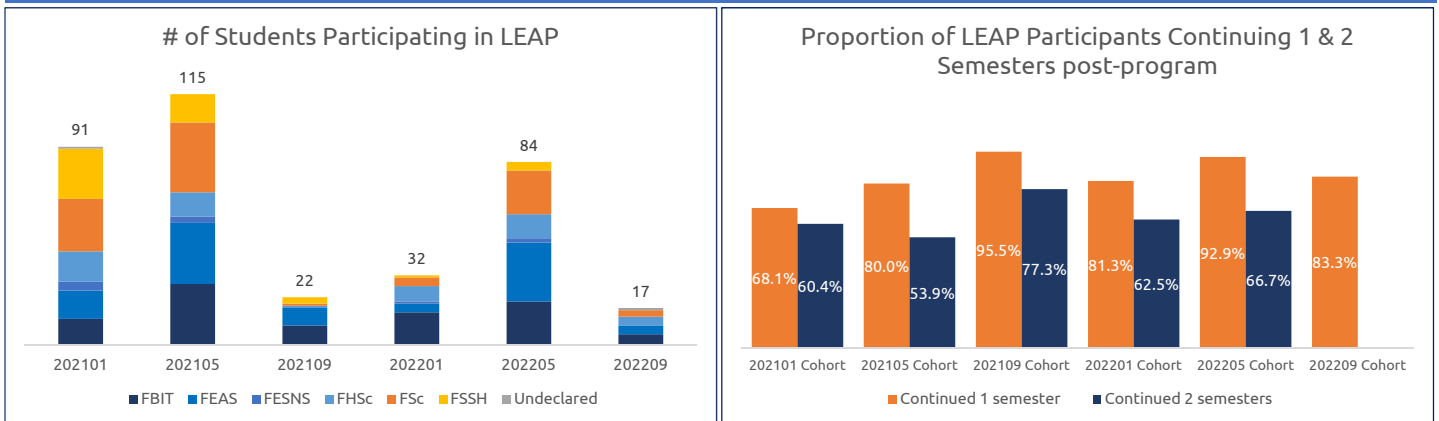
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Metric: **LEAP participation**

Definition: Post-program continuation of students who participated in and completed the LEAP program (count and proportion) term over term (one and two terms after program participation).

Data Source: LEAP course registration/grades and Annual USER data

Draft Target: Target will be set after 22-23, to allow for 3 yrs of data.



The Learner Engagement Academic Program (LEAP) program is a not-for-credit course aimed at giving students who have been suspended or dismissed the tools needed to successfully re-integrate into their program of study. LEAP combines the innovative principles of Burnett & Evans (2016) *Designing Your Life* with Covey's (2019) *7 Habits of Highly Effective People*. The highly interactive curriculum includes, but is not limited to, design thinking processes, learning opportunities specifically designed to provide participants with skills to ensure a successful transition back into our university community and beyond. Additionally, participants are expected to apply in-class hands-on activities with external experiential learning opportunities that include interactions with guest professionals, individual mentoring, and academic support. All of these components are delivered using multiple modalities that emulate those used in typical academic courses.

The program runs for 12 weeks and the content is delivered using a hybrid model (combination of in-person and virtual meetings, asynchronous material), as well as meeting with an academic coach. Successful completion of the program (i.e. achieving 70 per cent overall, successfully passing all components) is necessary in order to be re-admitted to the university.



# Ontario Tech University Metrics

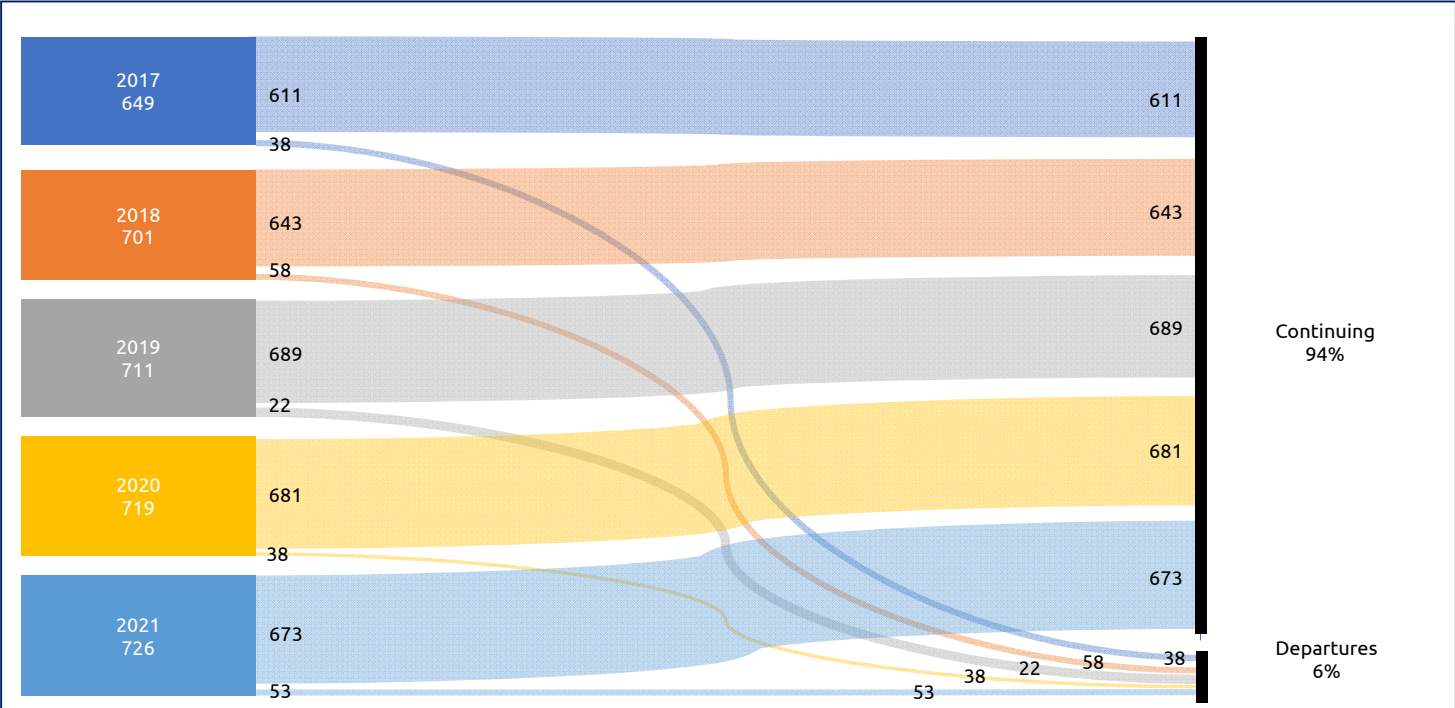
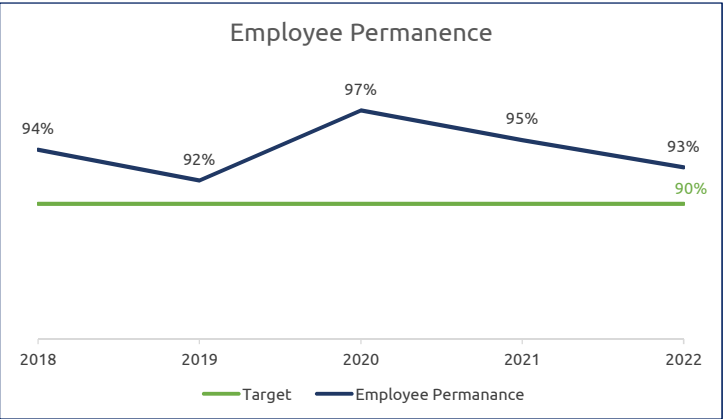
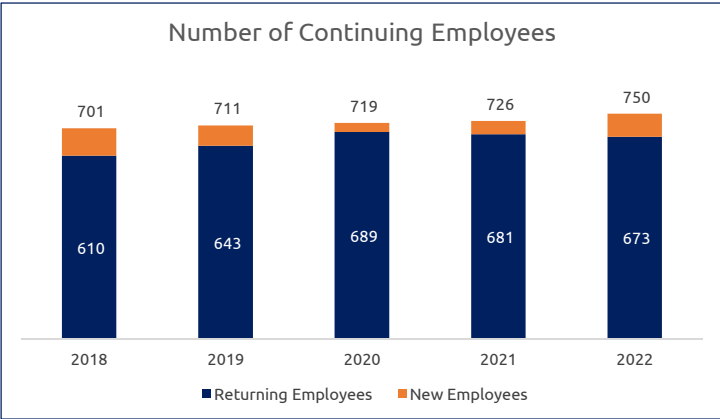
[Return to Metrics Listing](#)

Metric: **Employee Retention**

Definition: Number and proportion of employees that remain at Ontario Tech University from the previous year.

Data Source: Official Employee Counts made on October 1 of each year.

Target: Employee Permanence: above 90%



# Ontario Tech University Metrics

[Return to Metrics Listing](#)

**Metric:** Student Participation in Working Intergated Learning (WIL) opportunities.

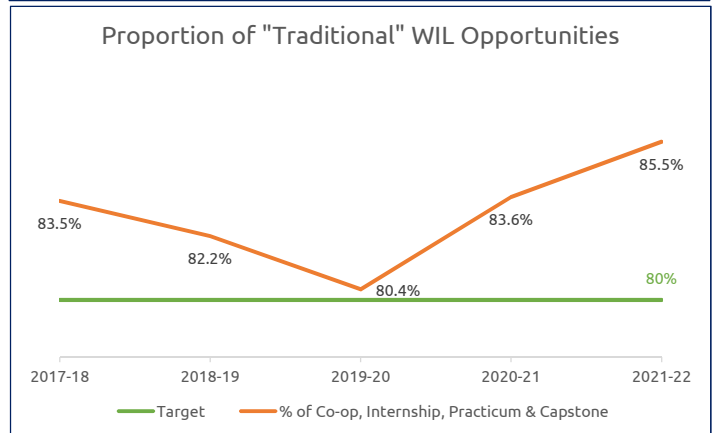
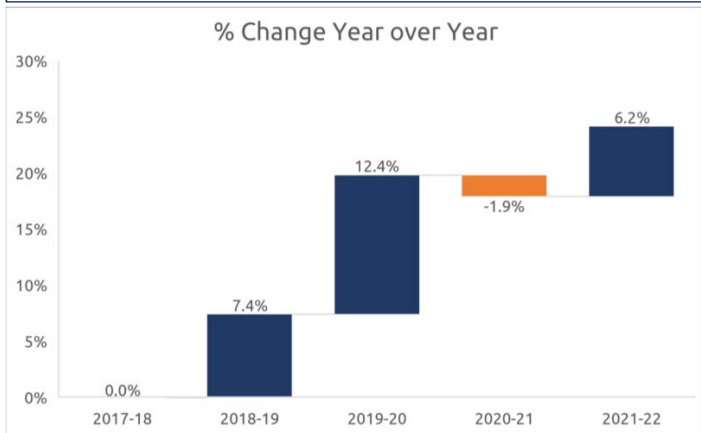
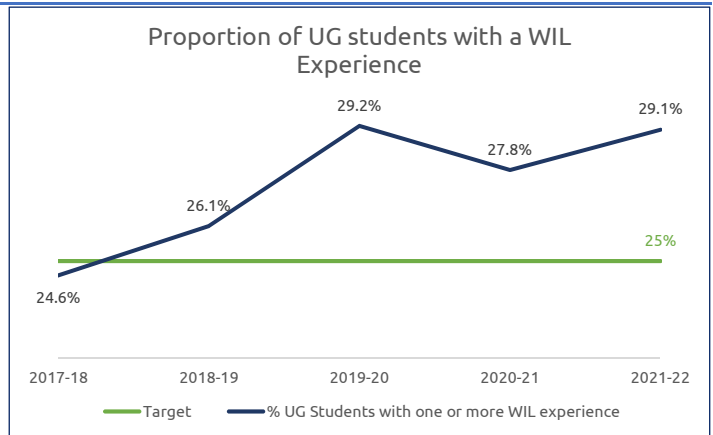
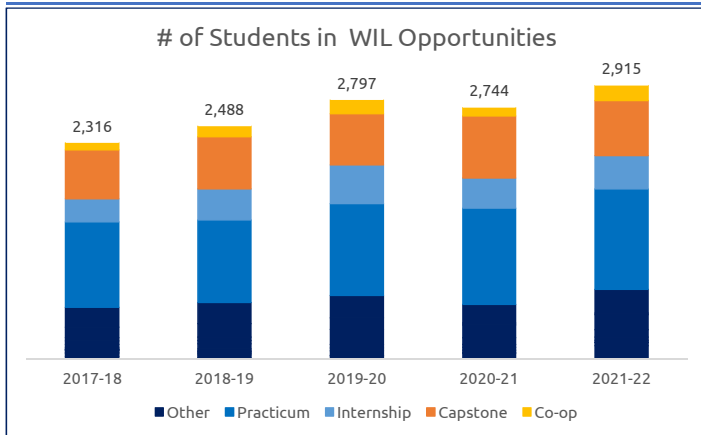
**Definition:** Distinct Count and Proportion of undergraduate students enrolled in one or more WIL opportunity including, but not limited to, the traditional experiences of Co-operative Education, Internships, Practicums, and Capstone Projects, reported for the Ministry Reporting year.

**Data Source:** Experiential Learning Database housed in the Office of Institutional Research and Analysis (OIRA).



**Target:** Proportion of Undergraduate Students participating in at least one WIL opportunity: 25% or higher

Proportion of all WIL opportunities classified as a "Traditional WIL experience"(Co-op, Internship, Practicum, and Capstone): 80%



# Ontario Tech University Metrics

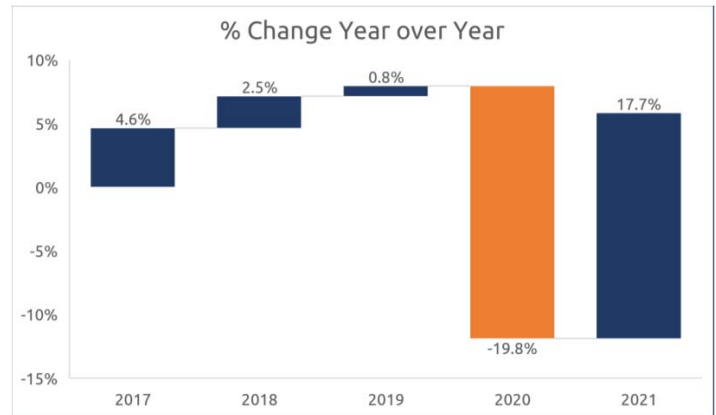
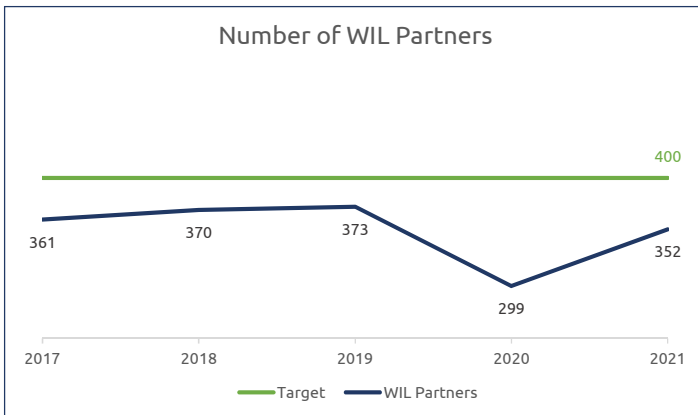
[Return to Metrics Listing](#)

Metric: **Partnerships in support Work Integrated Learning**

Definition: Distinct Count of partners supporting Work Integrated Learning included, but not limited to, Co-operative Education, Practicums, Internships, and Capstone projects. Note: Partner may have more than one project supporting WIL opportunities recorded for the Ministry Reporting year.

Data Source: Experiential Learning Database housed in the Office of Institutional Research and Analysis (OIRA).

Target: Number of Partners supporting WIL: 400



# Ontario Tech University Metrics

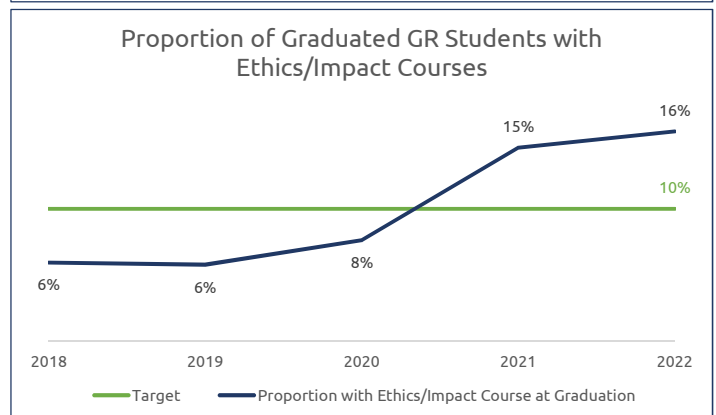
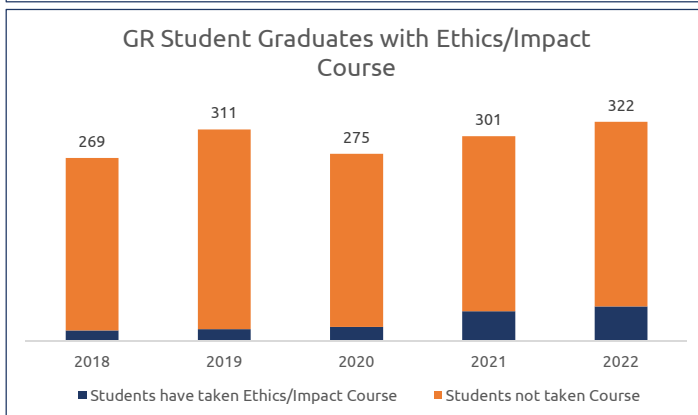
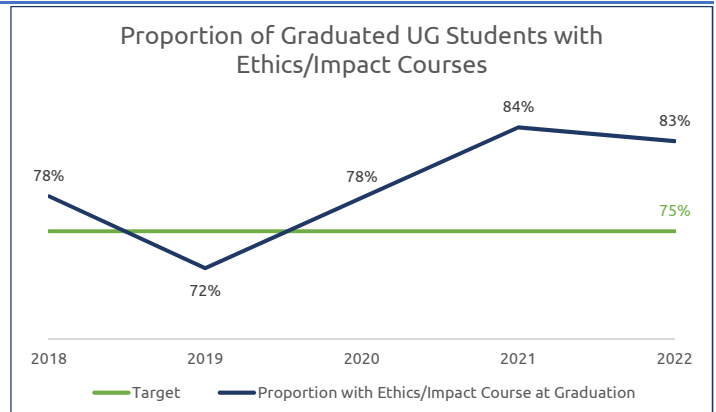
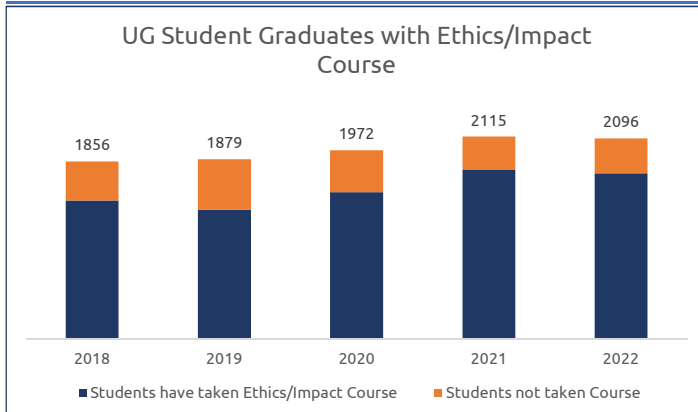
[Return to Metrics Listing](#)

**Metric:** Students graduating with a course on Ethics or Impact

**Definition:** Count and proportion of students, at time of graduation, who have taken in a course that has an ethical or impact component listed (indicated in course title within the Academic Calendar).

**Data Source:** Annual (Calendar Year) Graduation Census report, Student Registration Data Report

**Target:** Proportion of Undergraduate students graduating with at least one course with an Ethics or Impact component: 75%  
Proportion of Graduate students graduating with at least one course with an Ethics or Impact component: 10%



# Ontario Tech University Metrics

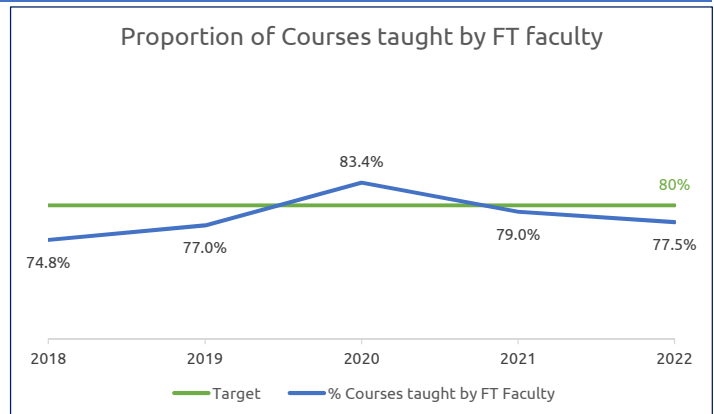
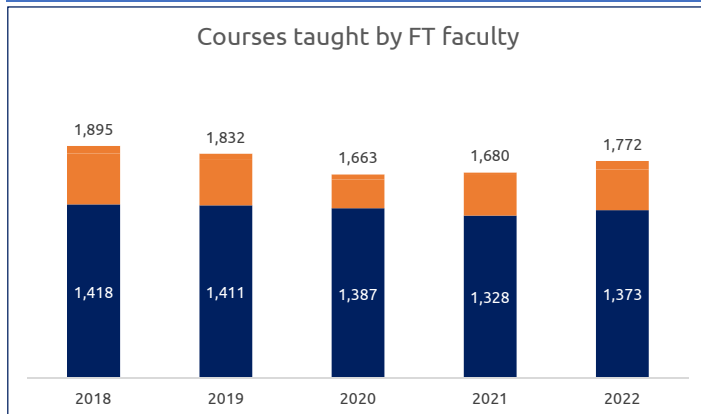
[Return to Metrics Listing](#)

Metric: **Courses taught by Full-time faculty**

Definition: Count and proportion of courses (CRN with credit hour weighting) taught by FT faculty members (Includes TTT, TF and Limited Term Faculty Members), per Ministry Reporting year.

Data Source: Course data and enrolment reports

Draft Target: Proportion of Courses taught by FT faculty members: 80%

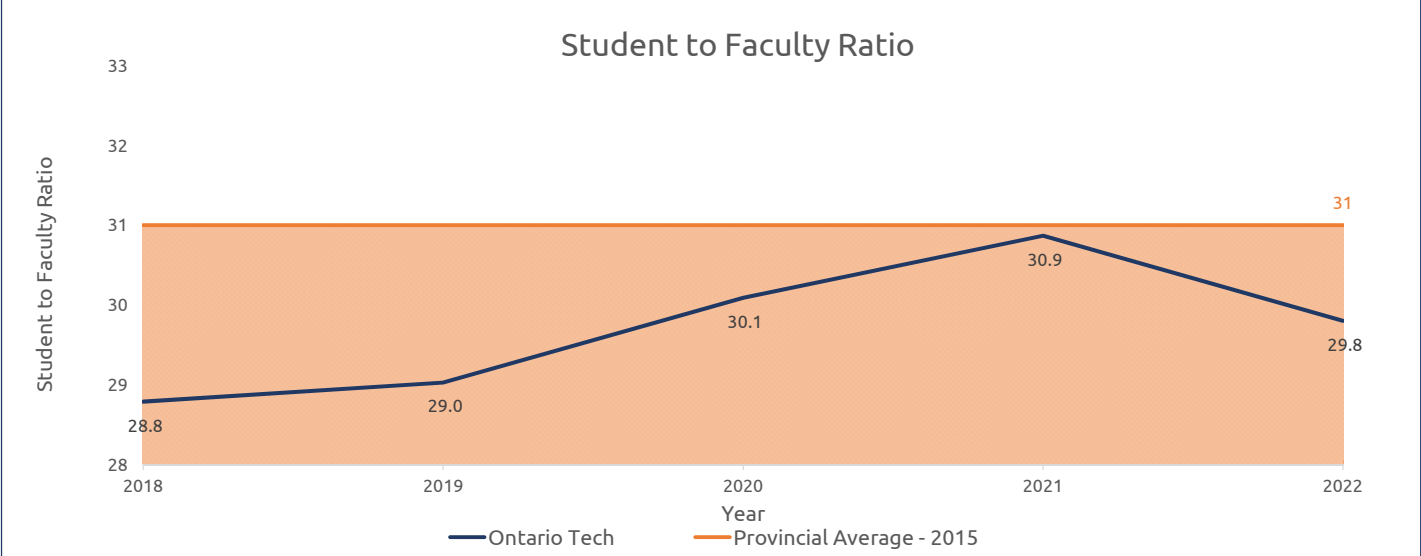


# Ontario Tech University Metrics

[Return to Metrics Listing](#)

**Metric:** Student: Faculty ratios  
**Definition:** The ratio of students taught to number of academic teaching staff (TTT & TF). (Measure of FTE to FTE)  
**Data Source:** Annual USER data and Official Human Resources counts as of October 1st of each year.

**Target:** 31 to 1 or better (2015 Provincial Average)



# Ontario Tech University Metrics

[Return to Metrics Listing](#)

Metric: **Overall Student Satisfaction**

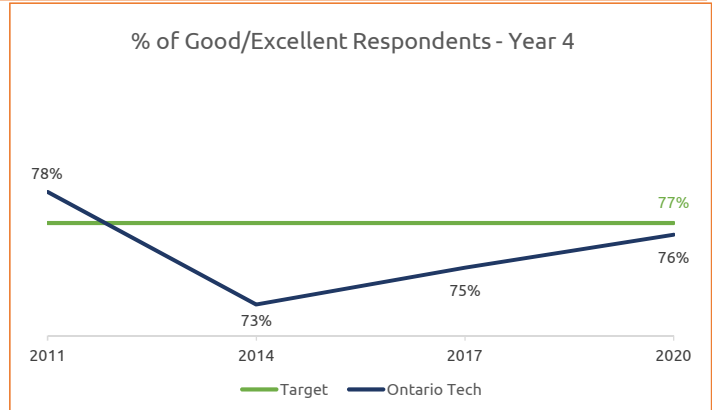
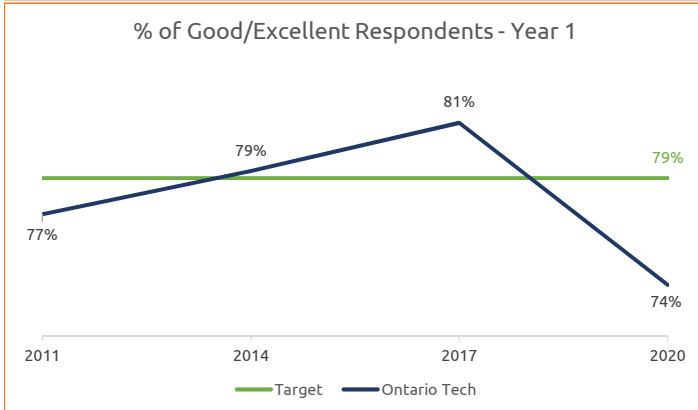
Definition: Reponse to NSSE questions on entire educational experience (% "good" or excellent" respondents) at Year 1 and Year 4

Data Source: National Survey of Student Engagement (NSSE); administered every 3 years to Year 1 and 4 Undergraduate students

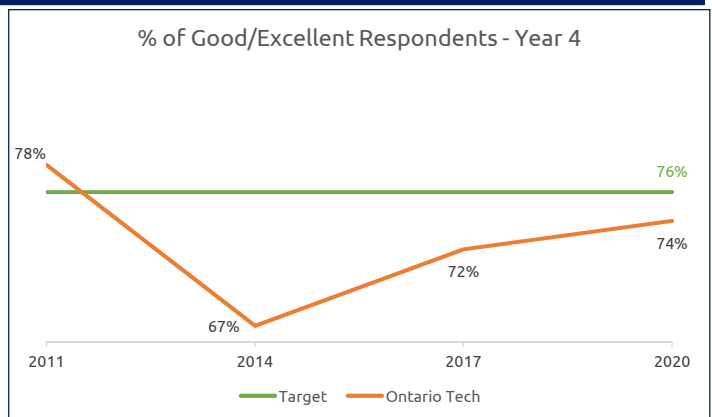
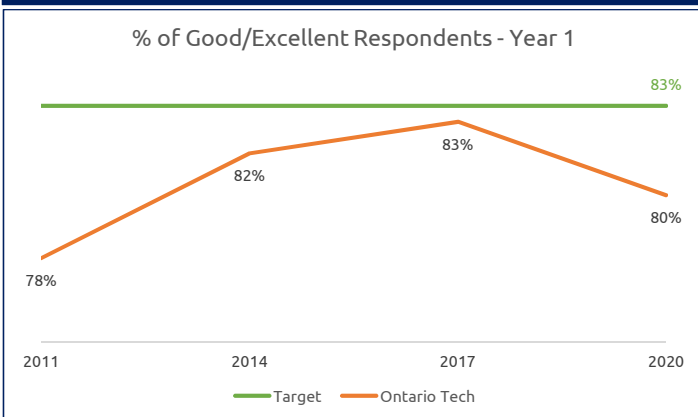
Target: Question 1 - Year 1: 79%, Year 4: 77%  
 Question 2 - Year 1: 83%, Year 4: 76% (based on Provincial Averages)



## Question: How would you evaluate your entire educational experience at this institution?



## Question: If you could start over again, would you go to the same institution you are now attending?



# Ontario Tech University Metrics

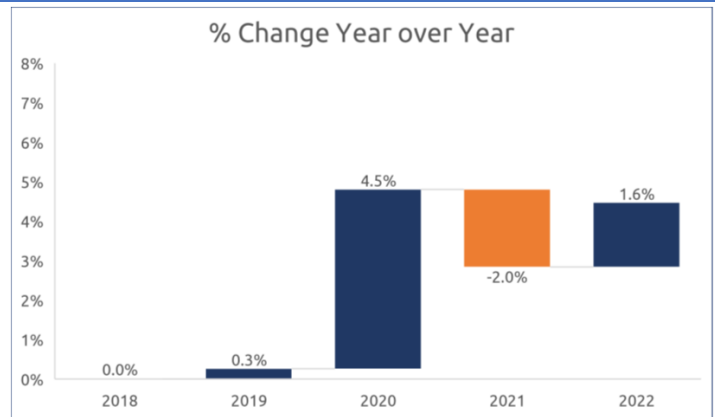
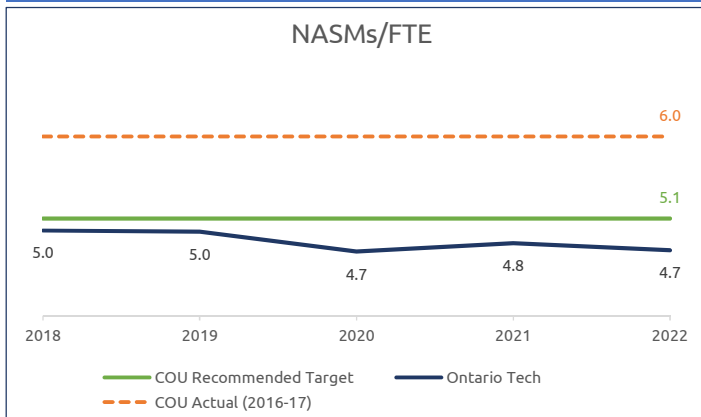
[Return to Metrics Listing](#)

Metric: **NASM/FTE ratio in instructional categories**

Definition: Ratio of Net Assignable Square Meters (NASM) of instructional space to Overall Student FTEs (COU methodology used)

Data Source: Official space database (OCIS), Annual USER data

Target: COU Recommended Target of 5.1





# Ontario Tech University Metrics

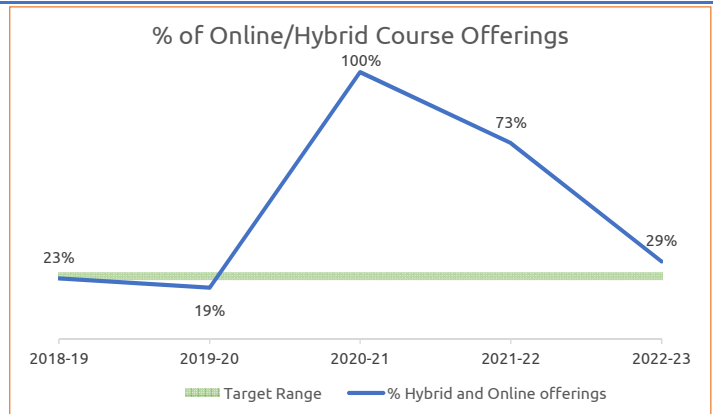
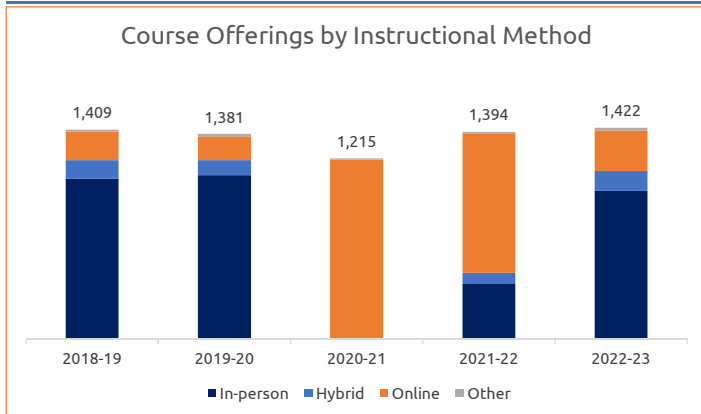
[Return to Metrics Listing](#)

Metric: **Flexible course formats offered (online or hybrid)**

Definition: Count of In-person, Hybrid, Online, and Other undergraduate course offerings (\*Other includes "Offsite, Independent Study, N/A"). Proportion of undergraduate e-learning course offerings (hybrid/online).

Data Source: Official course scheduling and enrolment data (Ministry Reporting year)

Target: Proportion of online/hybrid undergraduate course offerings: between 22-25%



# Ontario Tech University Metrics

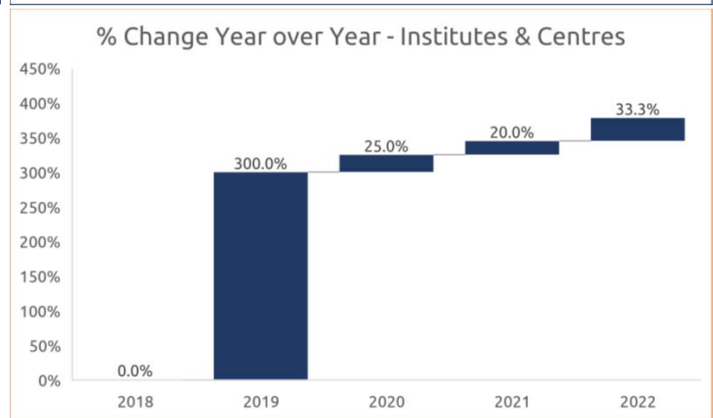
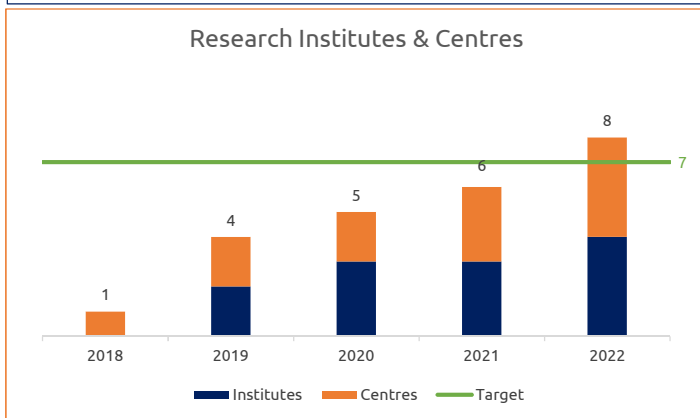
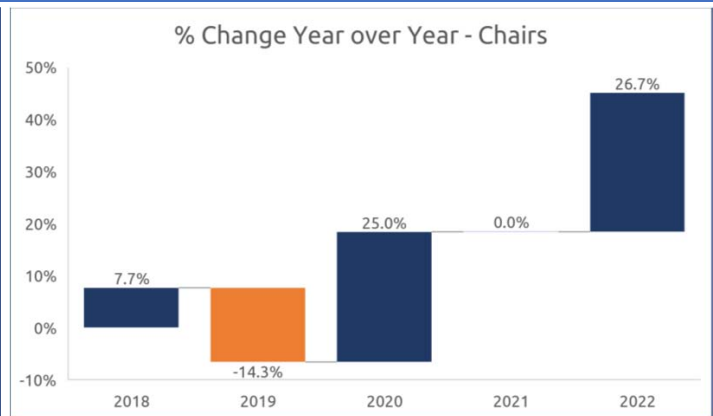
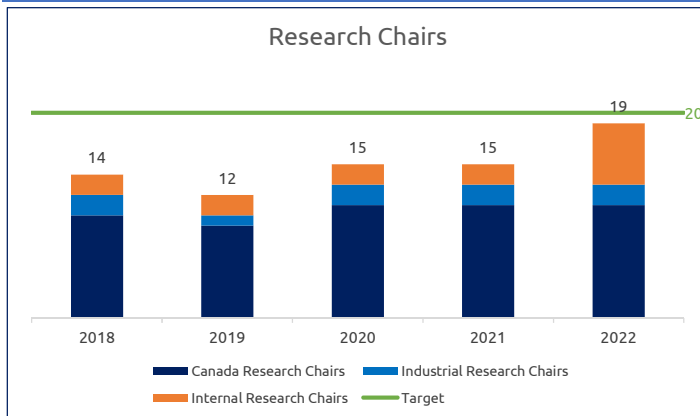
[Return to Metrics Listing](#)

Metric: **Research Chairs & Institutes**

Definition: Count of Research Chairs, Institutes, and Centres, by year. Includes internal, CRC, and industry chairs.

Data Source: Office of Research Services

Draft Target: Count of Research Chairs: 20  
Count of Research Institutes and Centres: 7



# Ontario Tech University Metrics

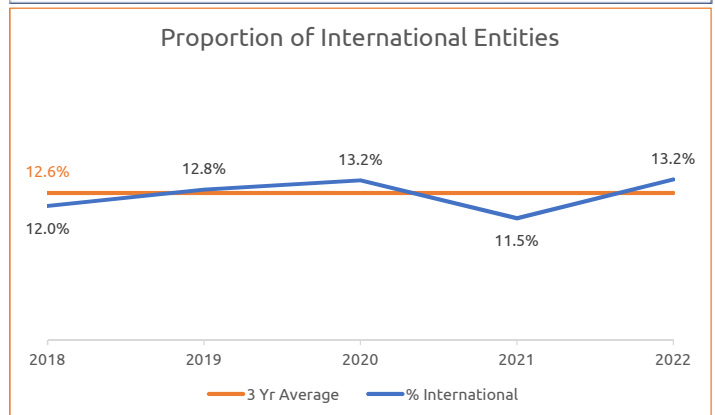
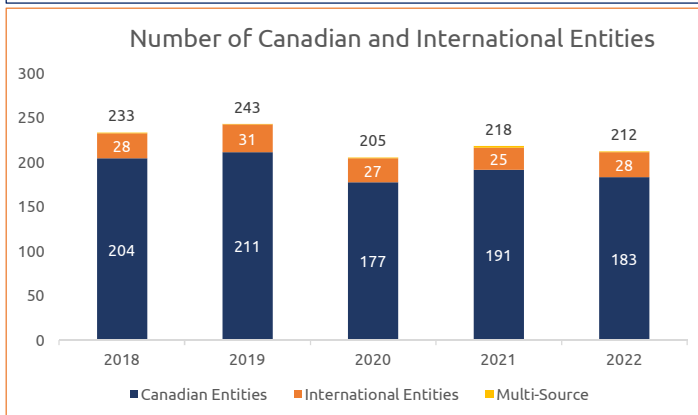
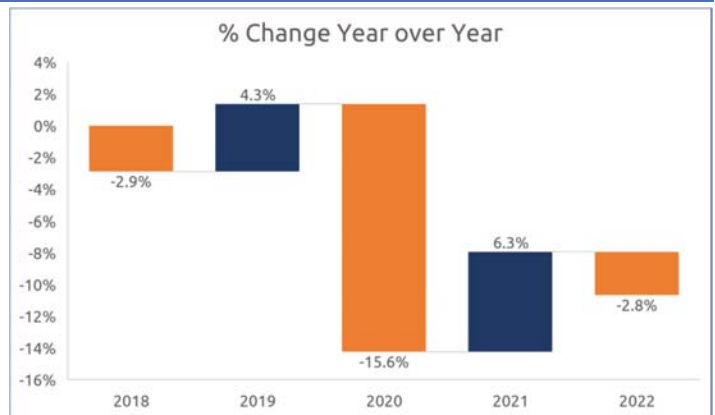
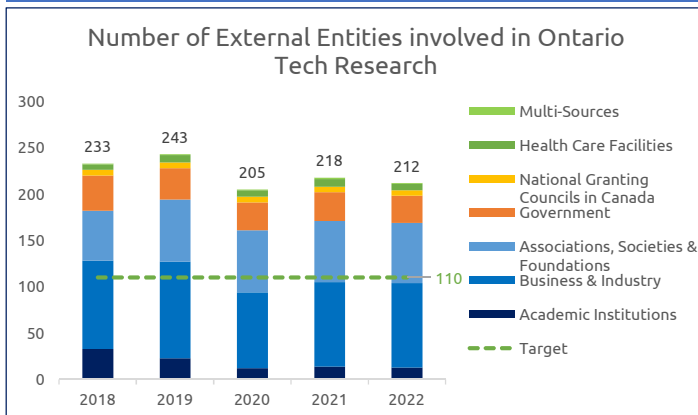
[Return to Metrics Listing](#)

Metric: **Research Sponsorships**

Definition: Count of external entities involved in sponsored research with Ontario Tech U. per fiscal year. Each entity is shown only once per year, regardless of how many projects they are involved in. However, an entity can be repeated in more than one fiscal year if they disbursed in more than one fiscal year.

Data Source: Office of Research Services

Target: Number of external entities involved in sponsored research: 110



# Ontario Tech University Metrics

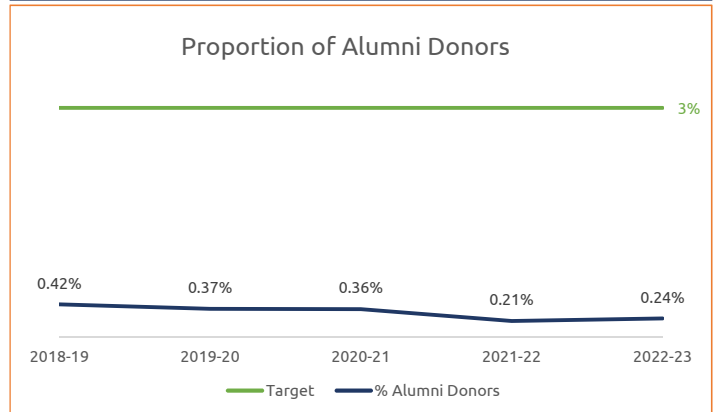
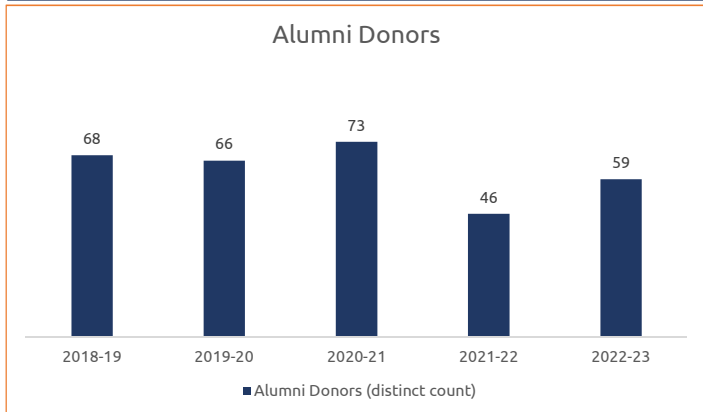
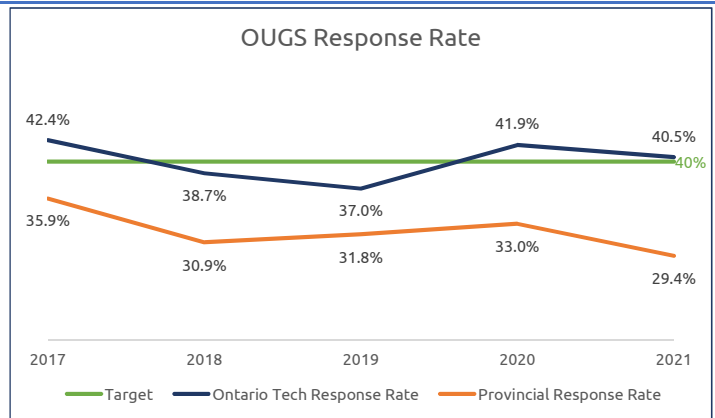
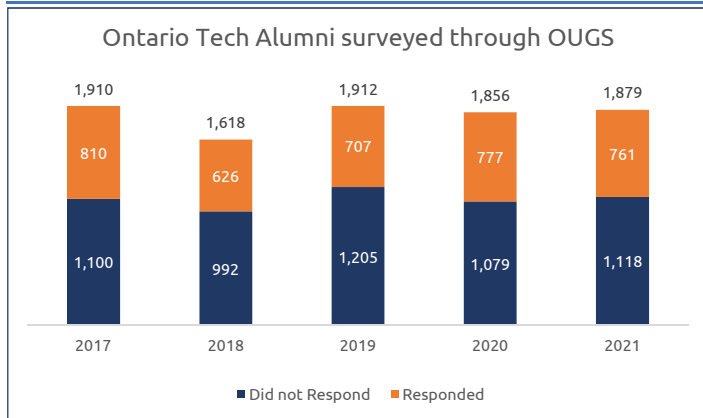
[Return to Metrics Listing](#)

Metric: **Alumni Engagement**

Definition: Proportion of eligible alumni who responded to Ontario University Graduate Survey (OUGS) (administered two years after graduating from an undergraduate or first professional degree program). Proportion of alumni donors per fiscal year (unique donors against rolling distinct count of total alumni).

Data Source: OUGS survey response data, Student Graduation Reports, donor records maintained by the Advancement and Alumni Office

Target: Engagement rate on OUGS: 40%  
Engagement rate on Alumni donors: 3%



# Ontario Tech University Metrics

[Return to Metrics Listing](#)

Metric: **Economic Stewardship**

Definition: As provided below

Data Source: Finance

Target: COU recommended thresholds.

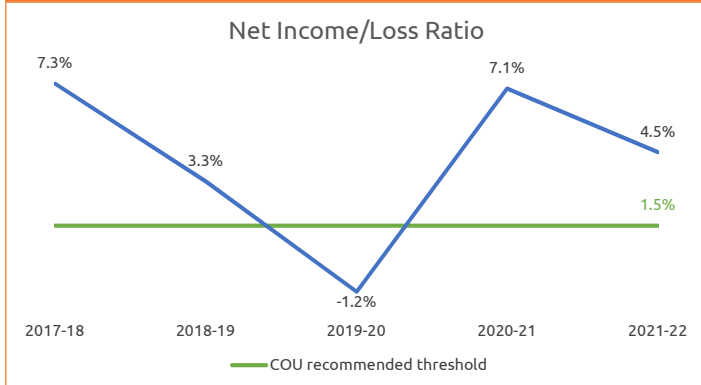
Net Income/Loss Ratio: 1.5%

Primary Reserve Ratio: 30

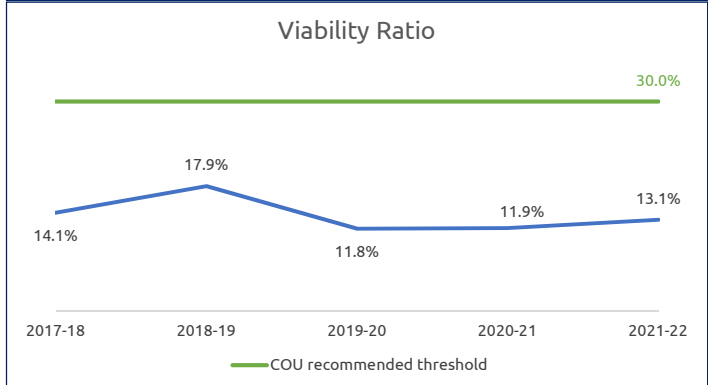
Viability Ratio: 30%

Net Operating Revenues Ratio: 2.0%

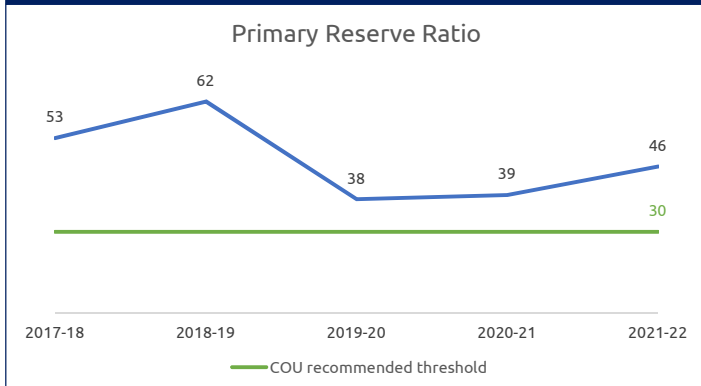
The Net Income/Loss Ratio measures the percentage of revenues that contributes to net assets. The objective of this ratio is to track trends in net earnings.



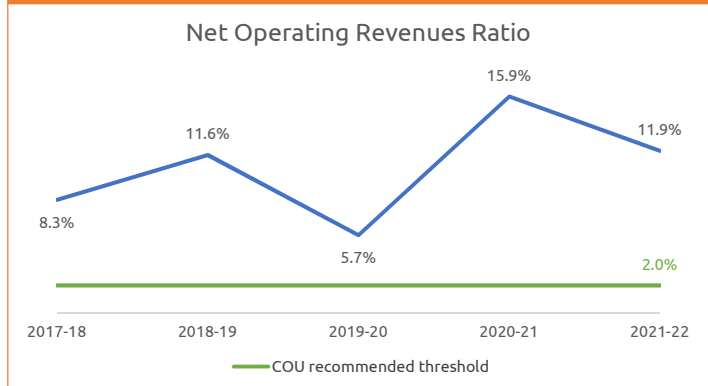
The Viability Ratio is a basic determinant of an institution's financial health, as it provides an indication of the funds on hand that can be used should an institution need to settle its long-term obligations.



The Primary Reserve Ratio is a measure of financial viability that compares expendable net assets to total expenses by determining how many days an institution could function using only its financial resources that can be



The Net Operating Revenues Ratio is a financial performance metric that provides an indication of the extent to which institutions are generating positive cash flows in the long run to be financially sustainable.



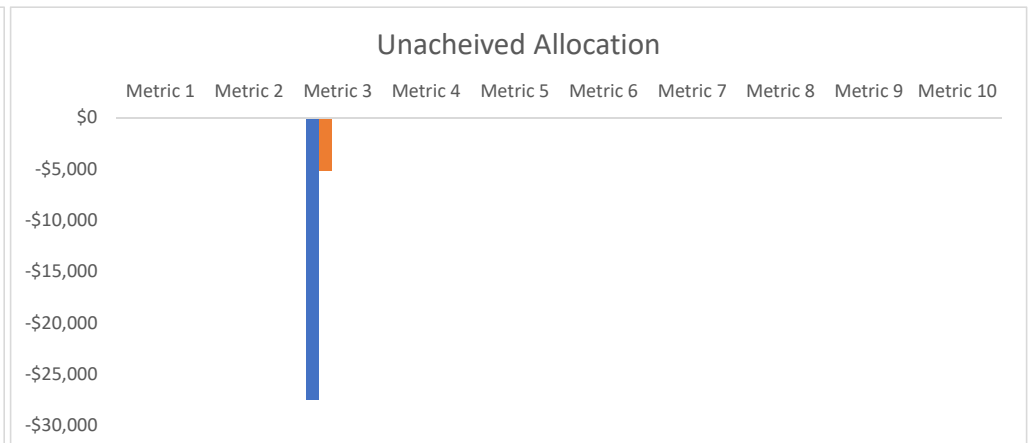
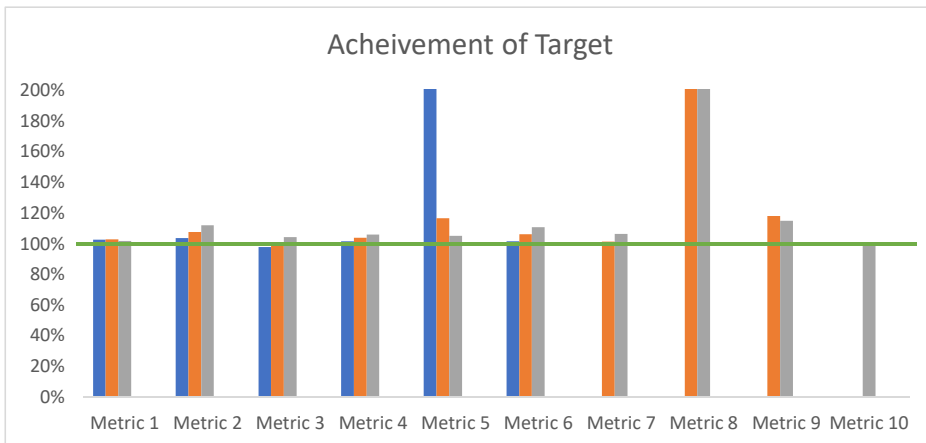
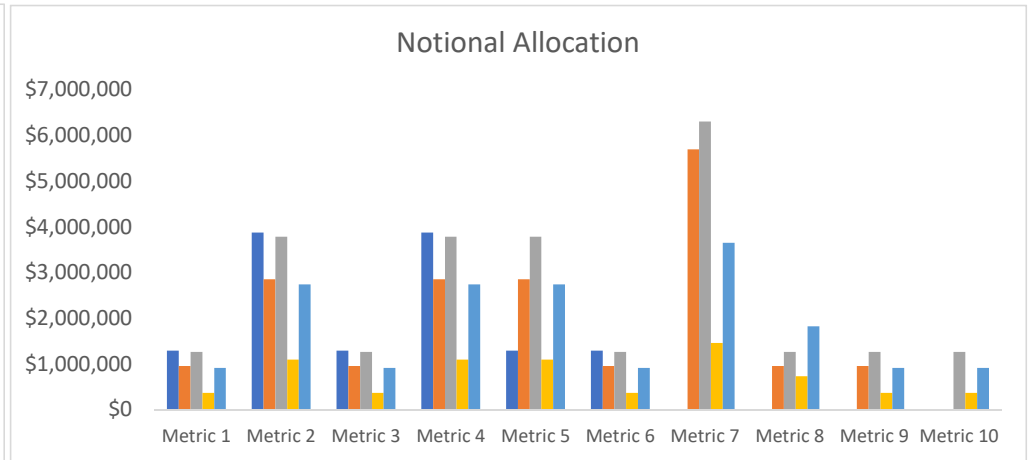
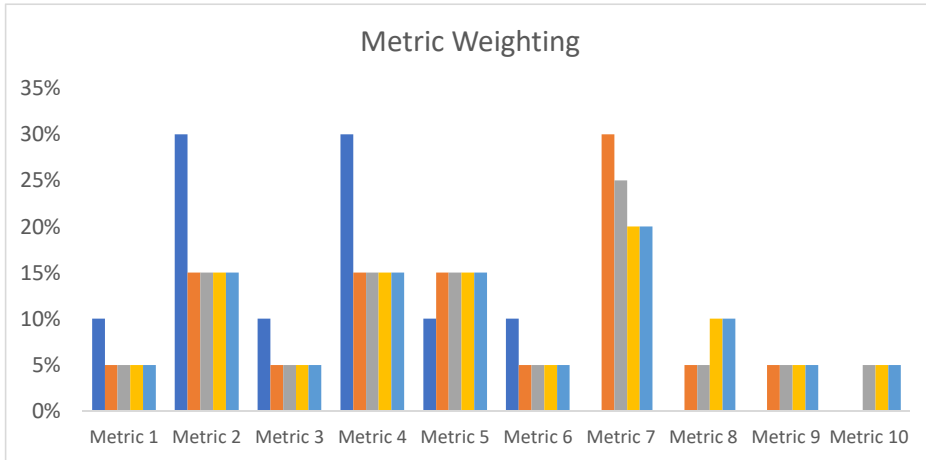
Credit Rating	Moody's	DBRS
2017-18	A1 Stable	A(low) Stable
2018-19	A1 Stable	A(low) Stable
2019-20	A1 Stable	A(low) Stable
2020-21	A1 Stable	A(low) Stable
2021-22	A1 Stable	A(low) Stable

# SMA Dashboard - Year 3 Reporting

2020-21 2021-22 2022-23 2023-24 2024-25

- Metric 1: Graduate Employment Rate in a Related Field**
- Metric 2: Institutional Strength/Focus**
- Metric 3: Graduation Rate**
- Metric 4: Community/Local Impact of Student Enrolment**
- Metric 5: Economic Impact (Institution-specific)**

- Metric 6: Research Funding and Capacity: Federal Tri-Agency Funding Secured**
- Metric 7: Experiential Learning**
- Metric 8: Research Revenue Attracted from Private Sources**
- Metric 9: Graduate Employment Earnings**
- Metric 10: Skills and Competencies**



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

Data not appearing indicates full allocation achieved

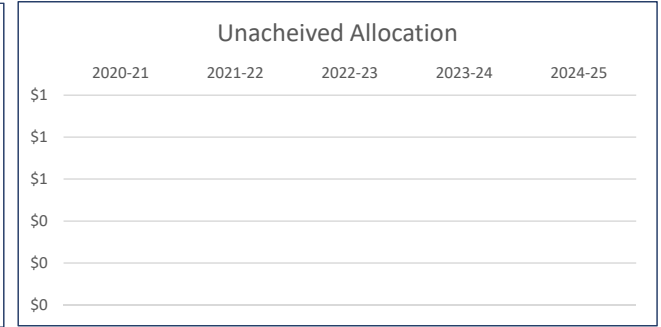
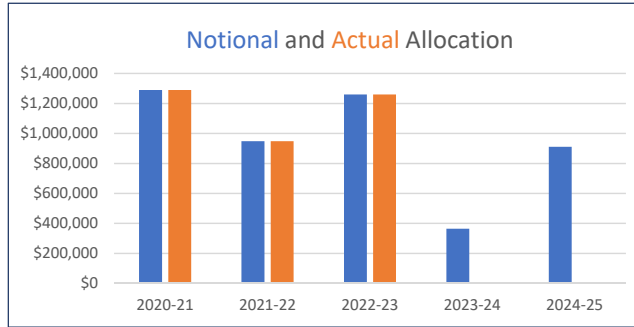
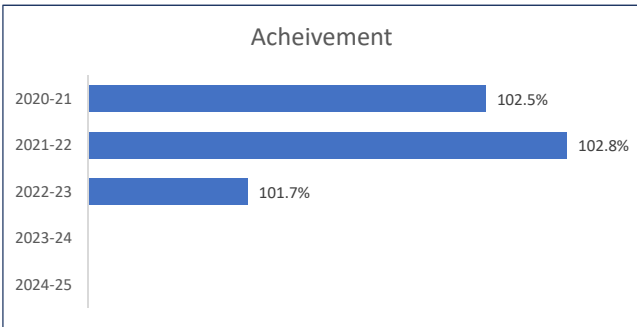
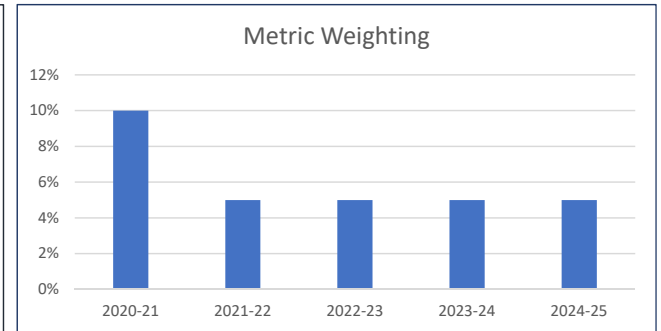
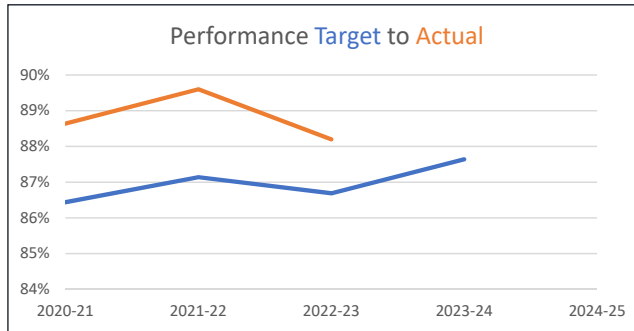
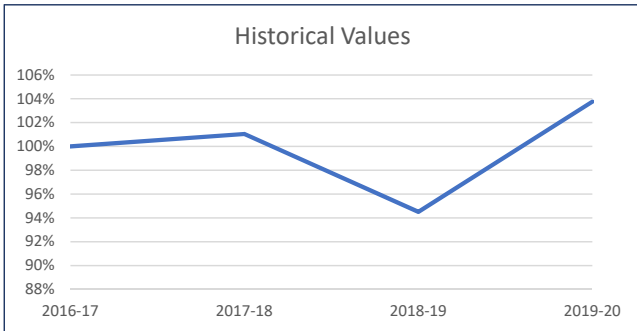
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Proportion of graduates of undergraduate (bachelor or first professional degree) programs employed full-time who consider their jobs either “closely” or “somewhat” related to the skills they developed in their university program, two years after graduation.

**Data Source**

MCU Ontario University Graduate Survey (OUGS)



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

Data not appearing indicates full allocation achieved

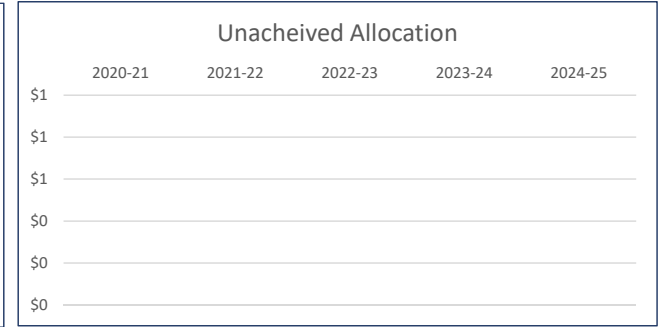
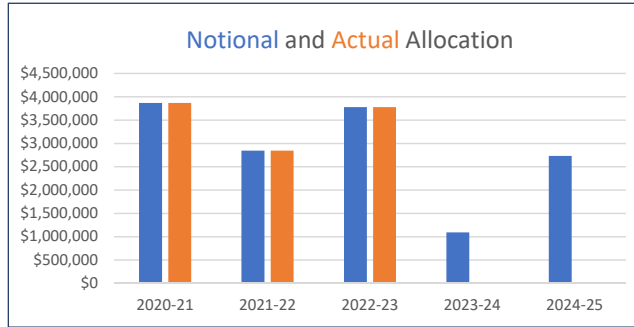
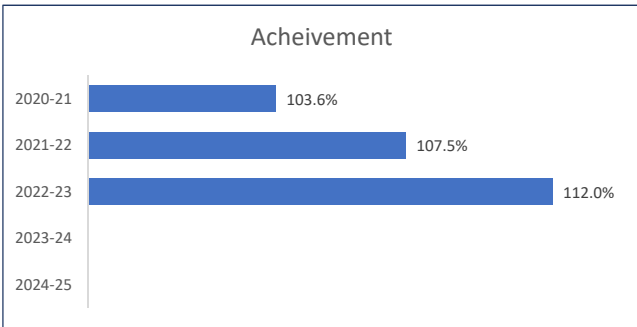
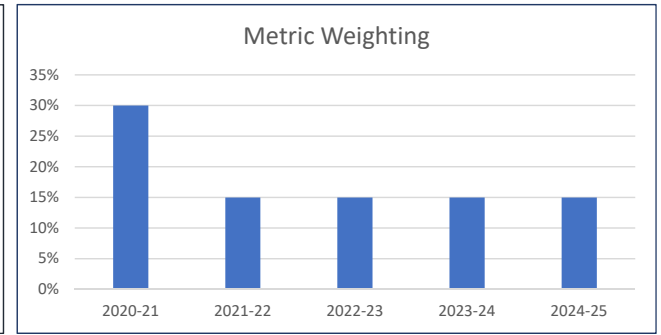
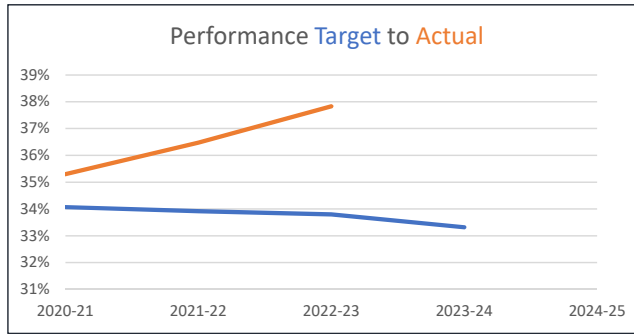
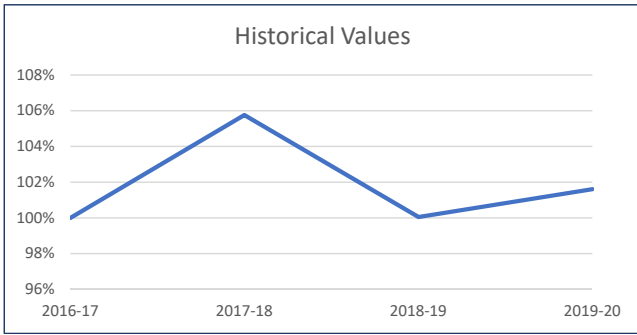
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Proportion of enrolment in an institution's program area(s) of strength.

**Data Source**

University Statistical and Enrolment Report (USER), Enrolment data collection



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

Data not appearing indicates full allocation achieved



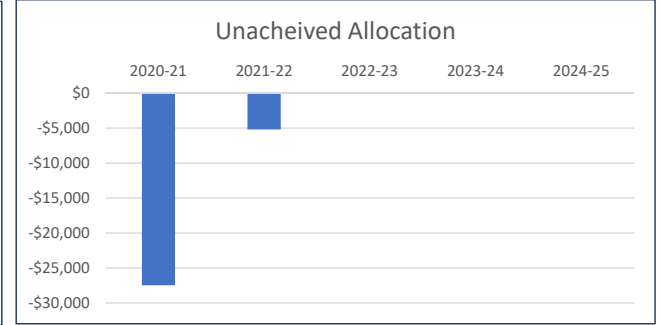
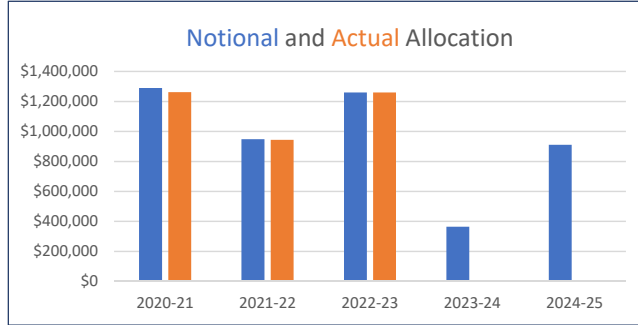
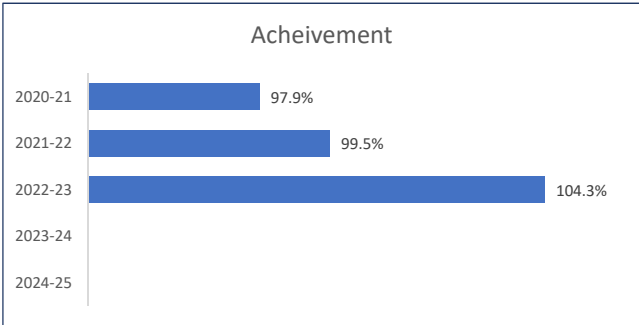
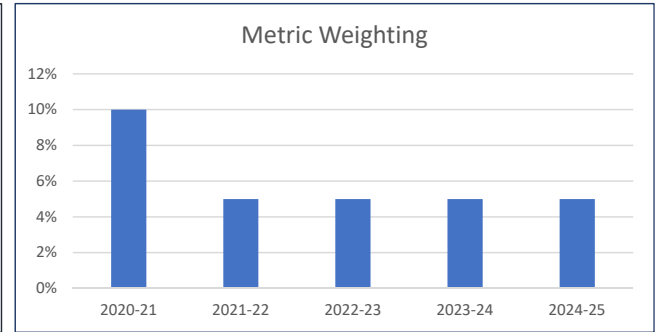
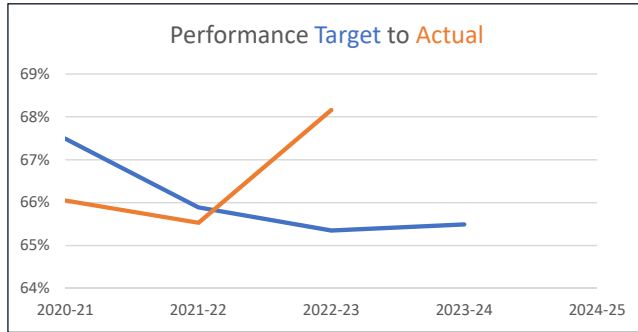
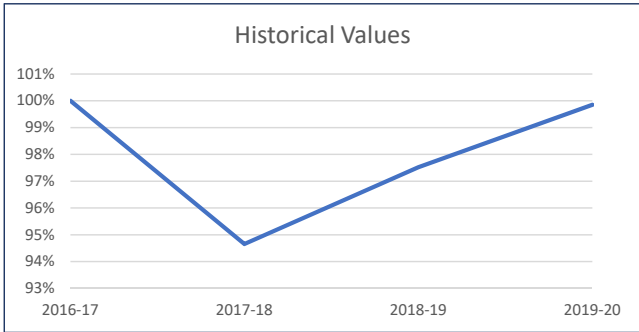
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
<b>Graduation Rate</b>	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Proportion of all new, full-time, year one university students of undergraduate (bachelor or first professional degree) programs who commenced their study in a given fall term and graduated from the same institution within 7 years.

**Data Source**

University Statistical and Enrolment Report (USER) - Enrolment and Degrees Awarded data collections



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

data not appearing indicates full allocation achieved

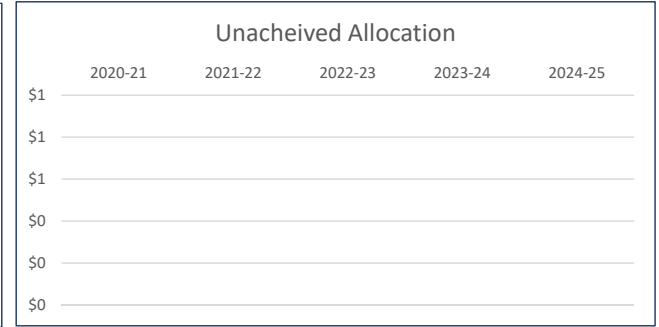
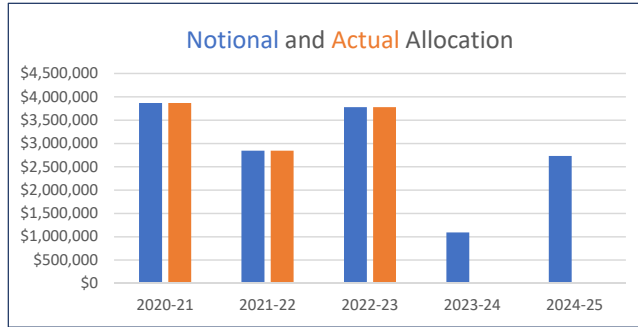
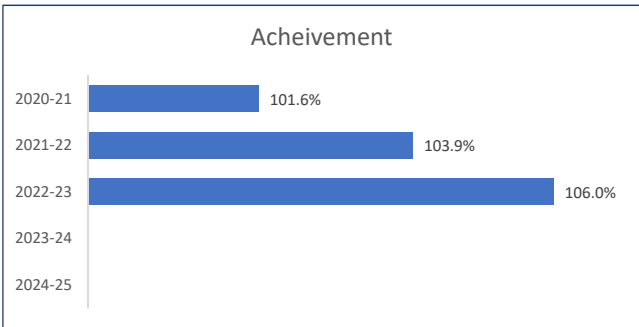
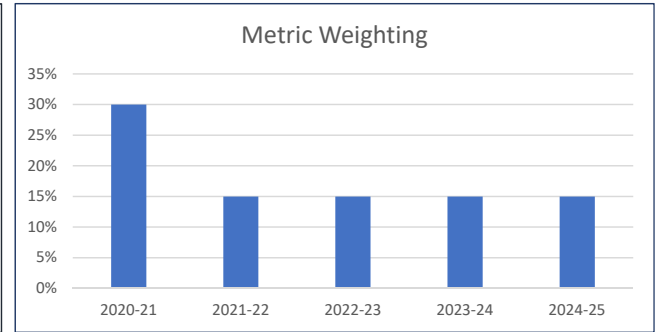
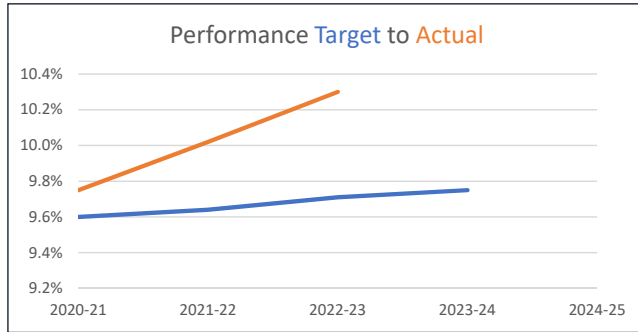
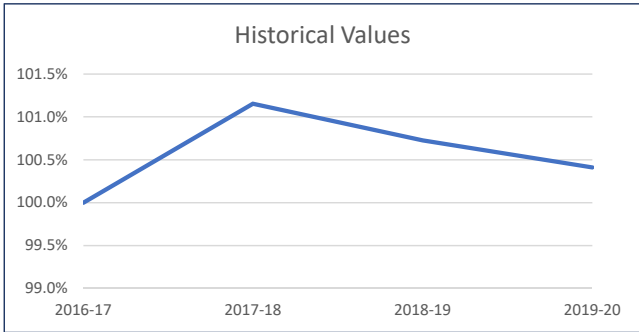
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Institutional enrolment share in the population of the city (cities)/town(s) in which the institution is located.

**Data Source**

University Statistical Enrolment Report (USER), Enrolment data collection; Census Data (Statistics Canada)



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

data not appearing indicates full allocation achieved

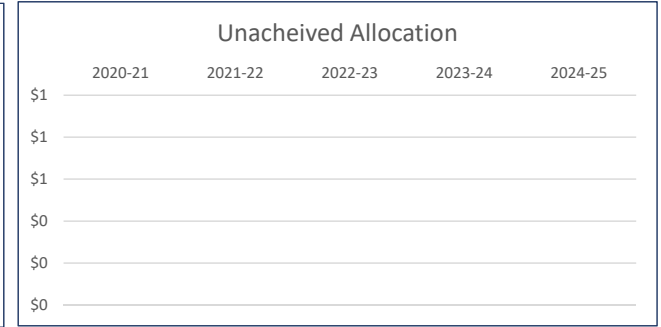
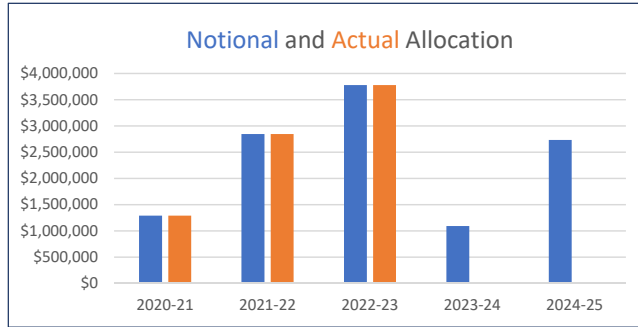
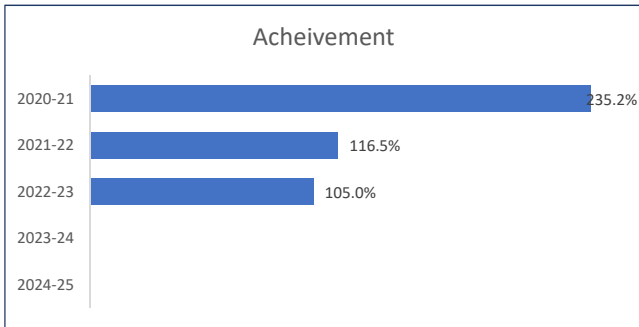
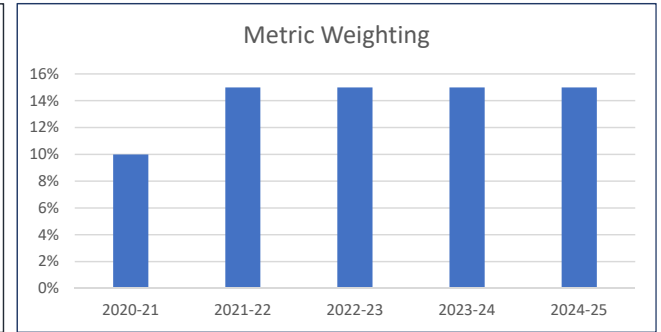
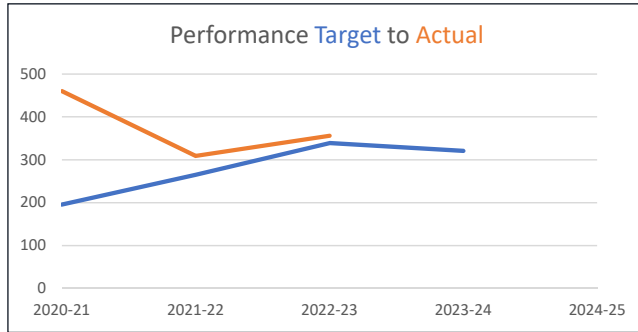
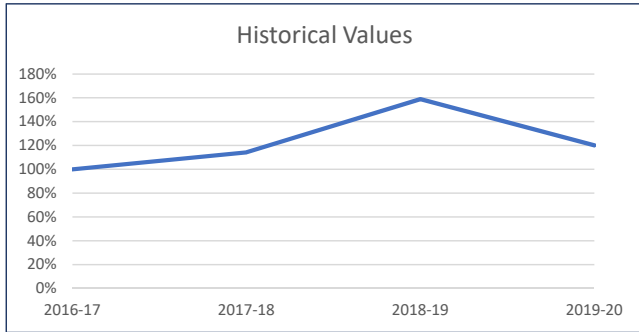
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
<b>Economic Impact (Institution-specific)</b>	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

The number of assessment-based student work-related placements in Durham/Northumberland Region.

**Data Source**

Institutional Experiential Learning Database



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

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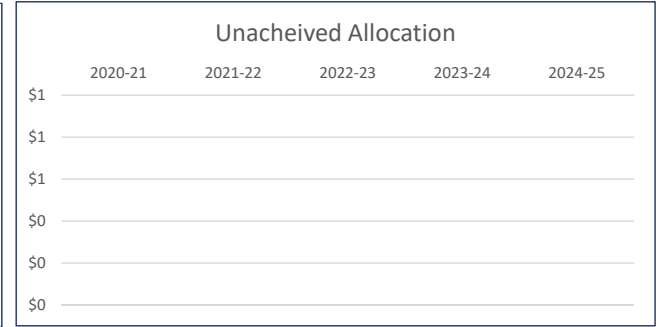
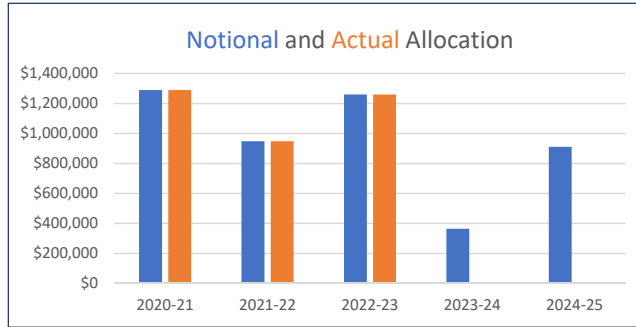
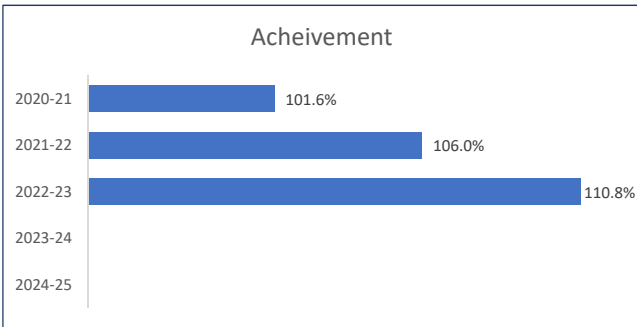
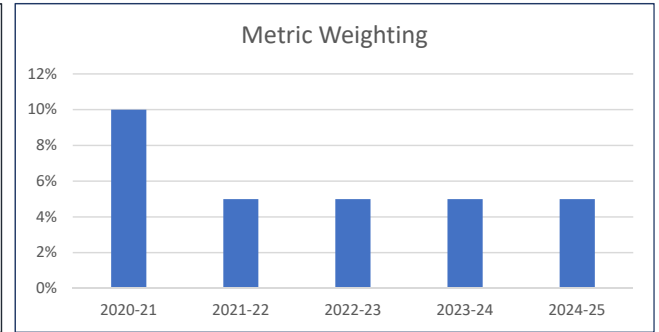
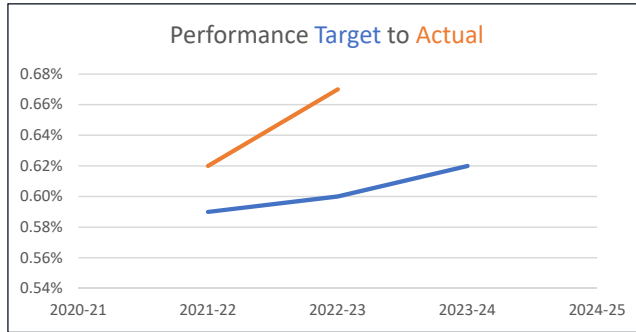
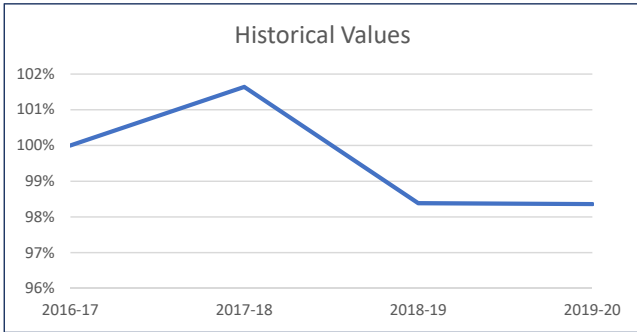
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	<b>Research Funding and Capacity: Federal Tri-Agency Funding Secured</b>
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Amount of funding received by university from federal research granting agencies and proportion of total Tri-Agency funding received by Ontario universities.

**Data Source**

Research Support Program, The Tri-Agency Institutional Programs Secretariat (TIPS)



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

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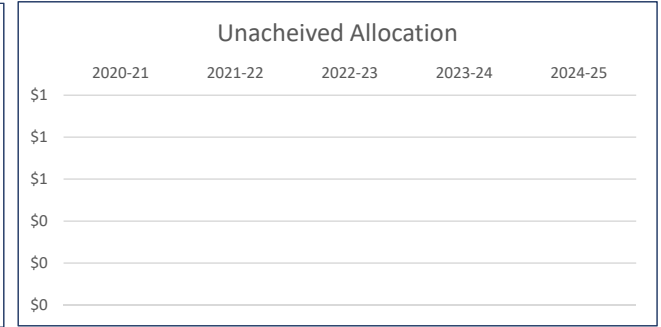
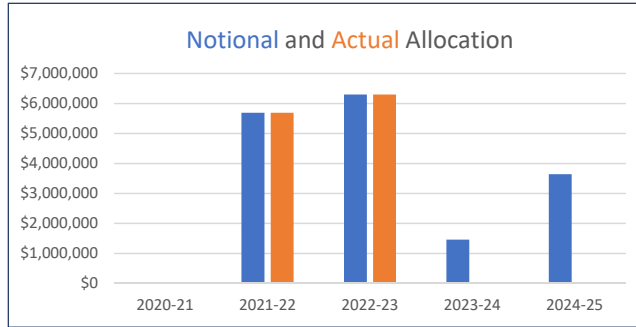
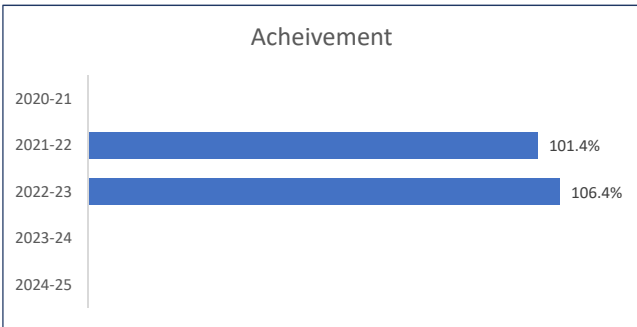
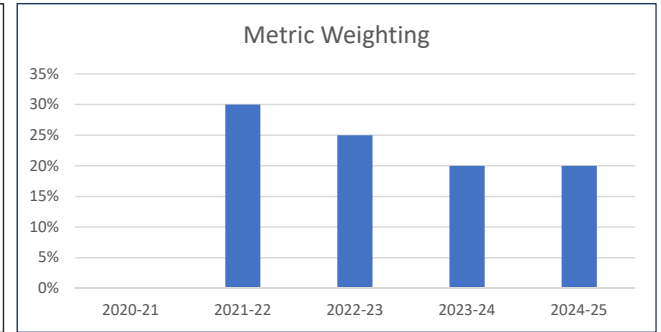
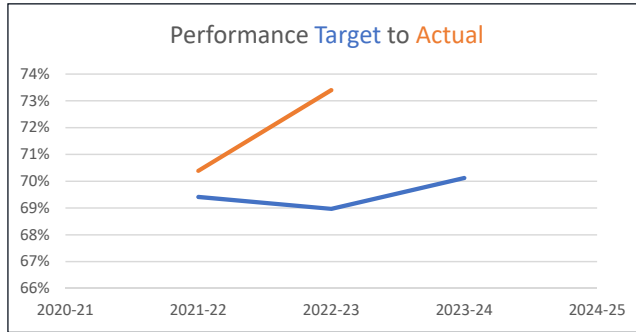
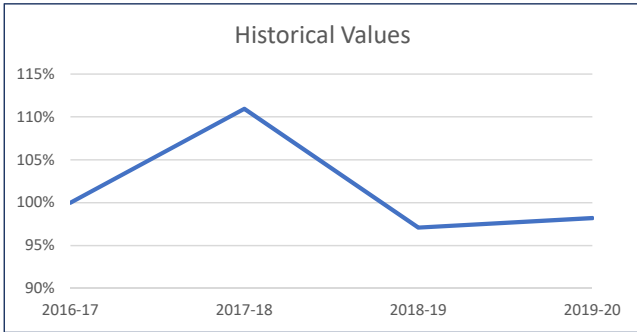
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
<b>Experiential Learning</b>	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Number and proportion of graduates in undergraduate programs, who participated in at least one course with required Experiential Learning (EL) component(s).

**Data Source**

Institutional data



Note: Metrics 1-6 active during Year 1 (2020-21)  
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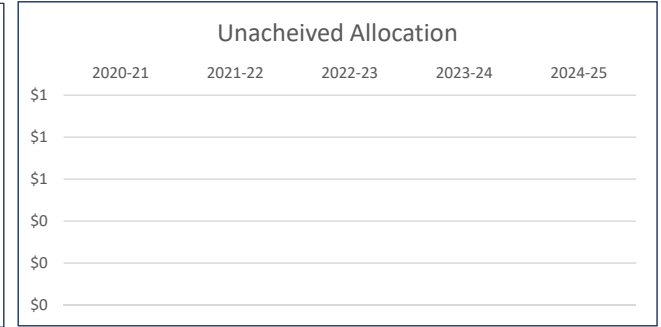
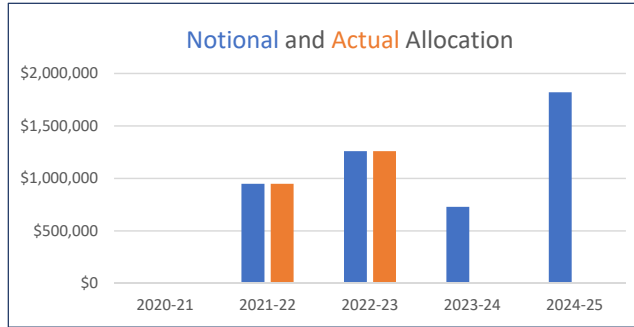
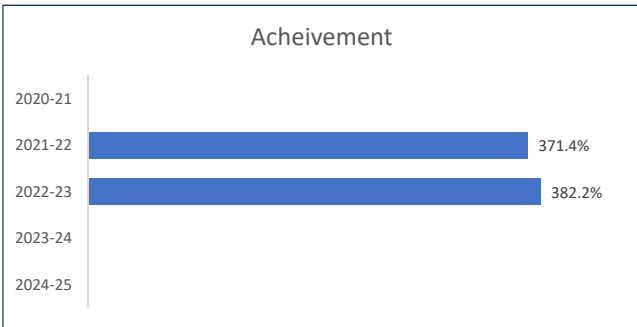
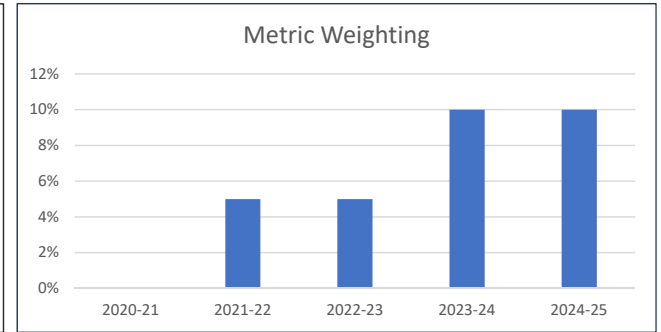
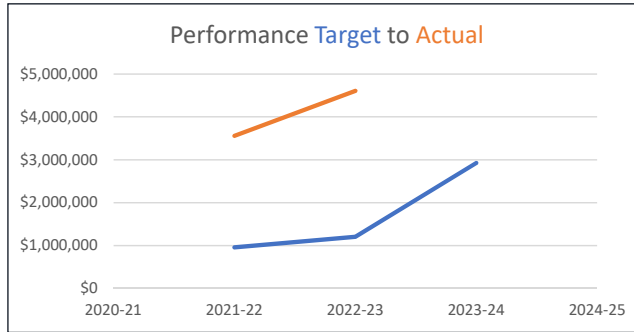
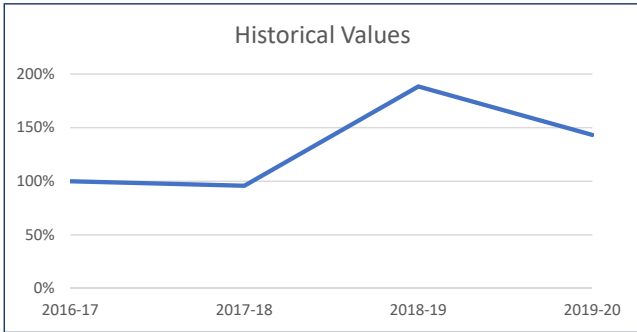
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	<b>Research Revenue Attracted from Private Sources</b>
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Total research revenue attracted from private sector and not-for-profit sources

**Data Source**

Council of Ontario Finance Officers (COFO)



Note: Metrics 1-6 active during Year 1 (2020-21)  
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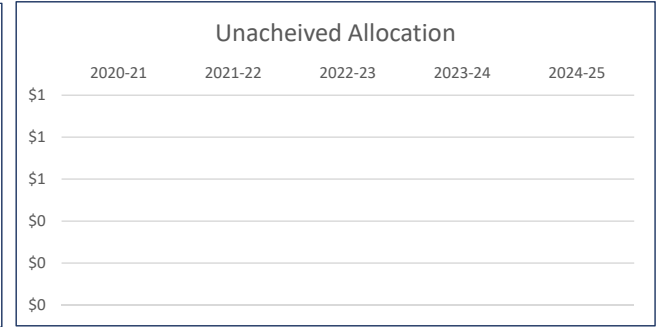
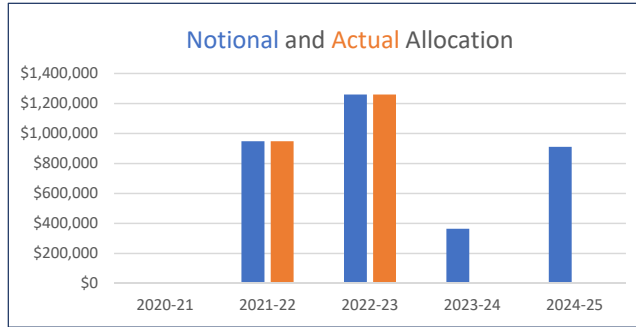
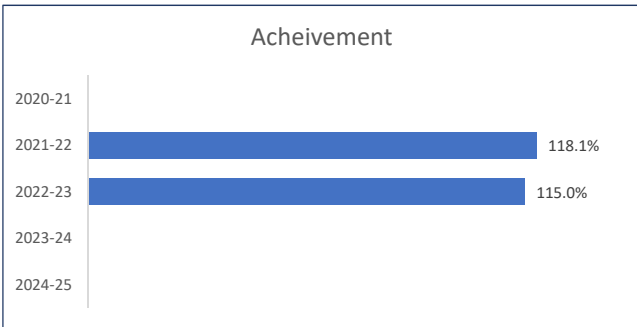
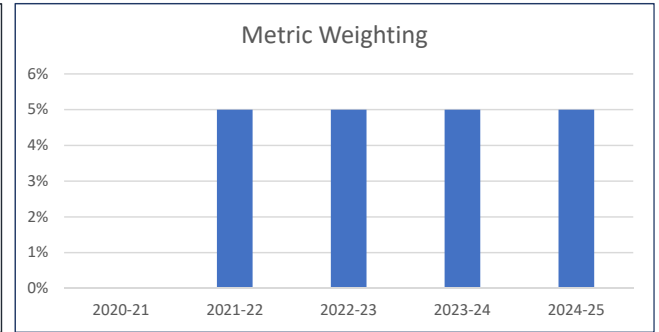
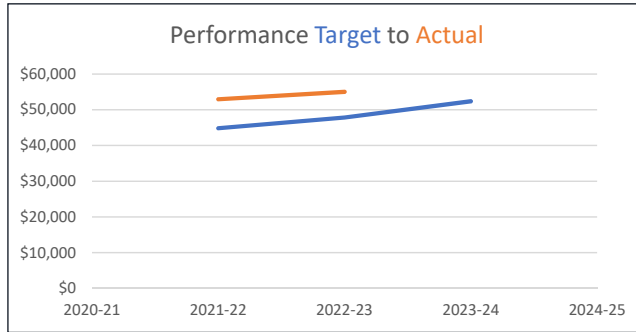
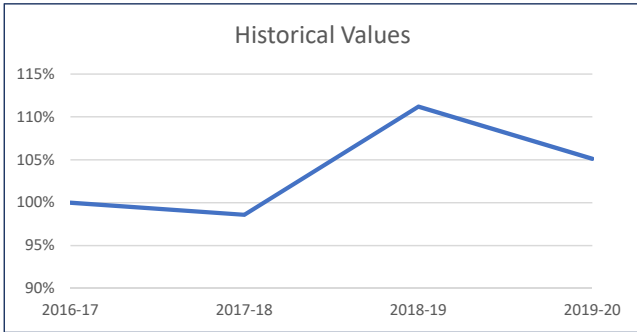
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
<b>Graduate Employment Earnings</b>	Skills & Competencies (Institution-specific)

**Definition**

Median employment earnings of university graduates, two years after graduation.

**Data Source**

Education and Labour Market Longitudinal Platform (ELMLP), Statistics Canada



Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward

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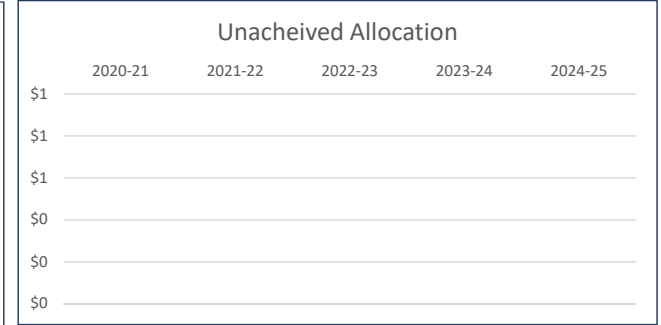
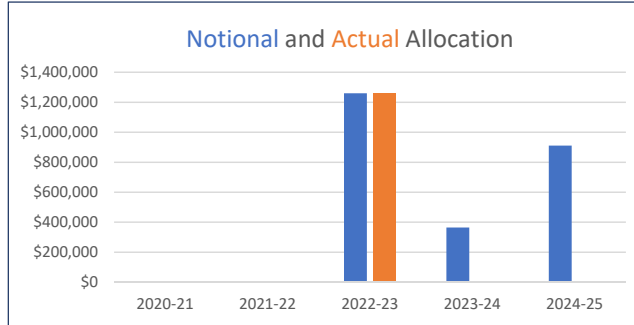
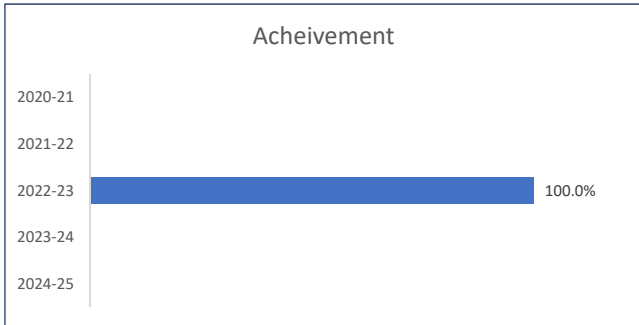
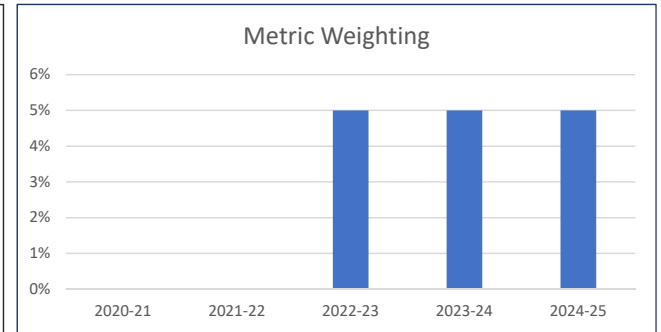
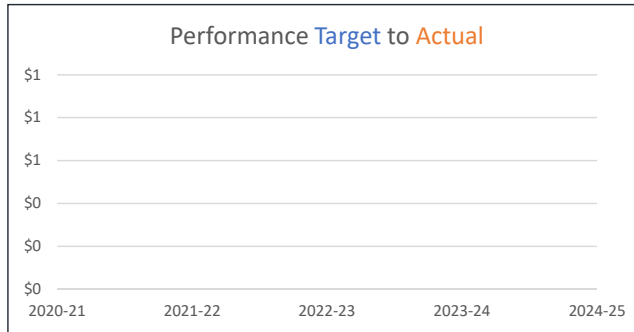
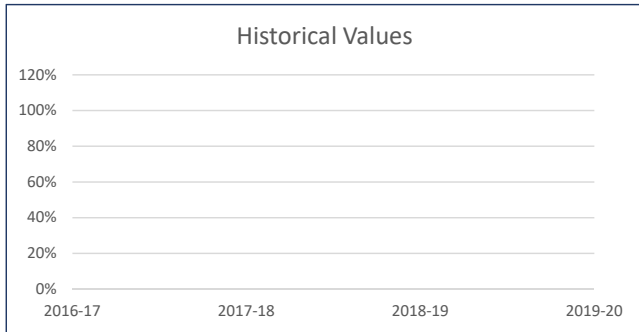
Graduate Employment Rate in a Related Field	Institutional Strength/Focus
Graduation Rate	Community/Local Impact of Student Enrolment
Economic Impact (Institution-specific)	Research Funding and Capacity: Federal Tri-Agency Funding Secured
Experiential Learning	Research Revenue Attracted from Private Sources
Graduate Employment Earnings	Skills & Competencies (Institution-specific)

**Definition**

Proportion of graduates of undergraduate (bachelor or first professional degree) programs who consider the skills they developed to be, “Quite a bit” or “Very much” attributed to their university program.

**Data Source**

2023 NSSE Q18 (Senior Year Students) for SMA3 Yr4, Internal Graduation Survey Q1 for SMA3 Yr5

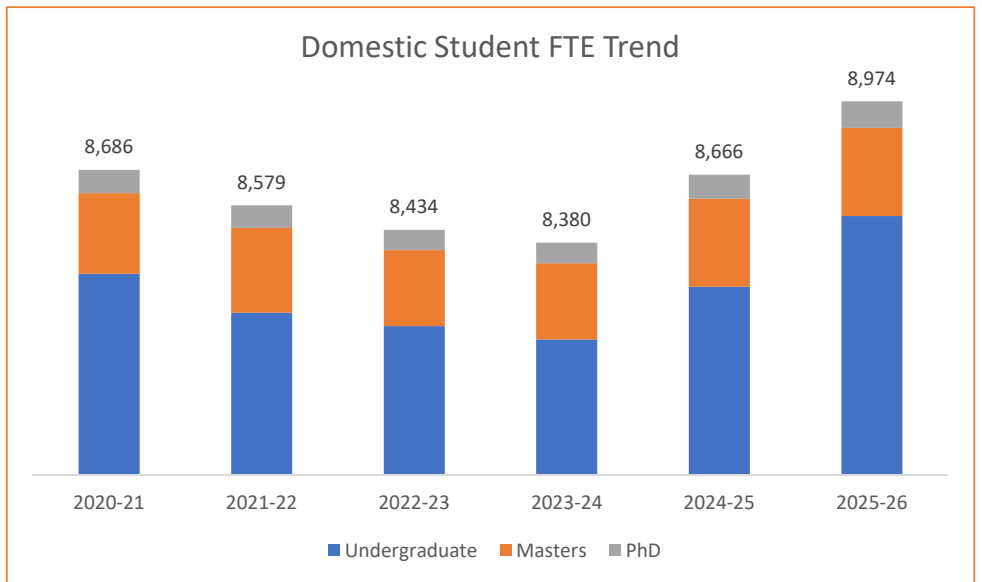
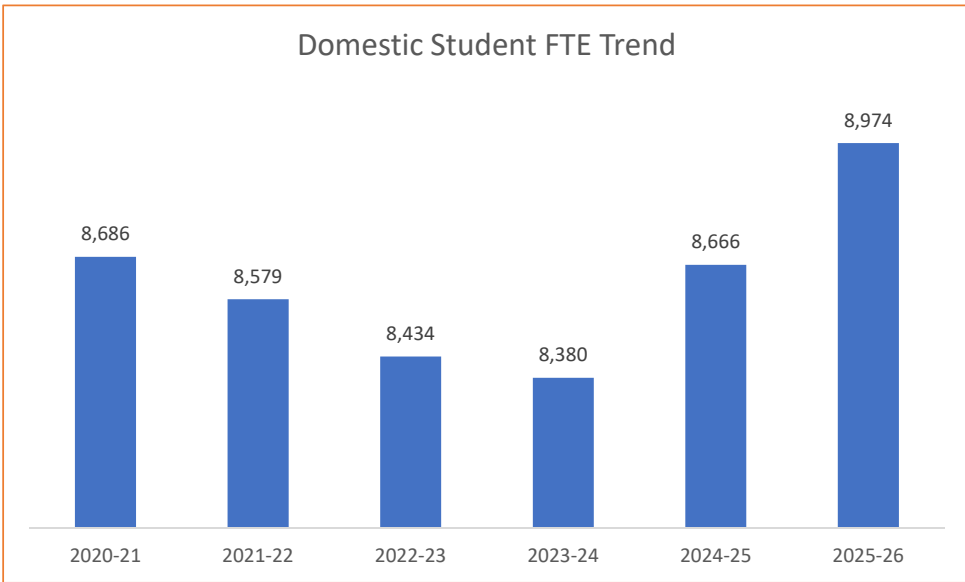
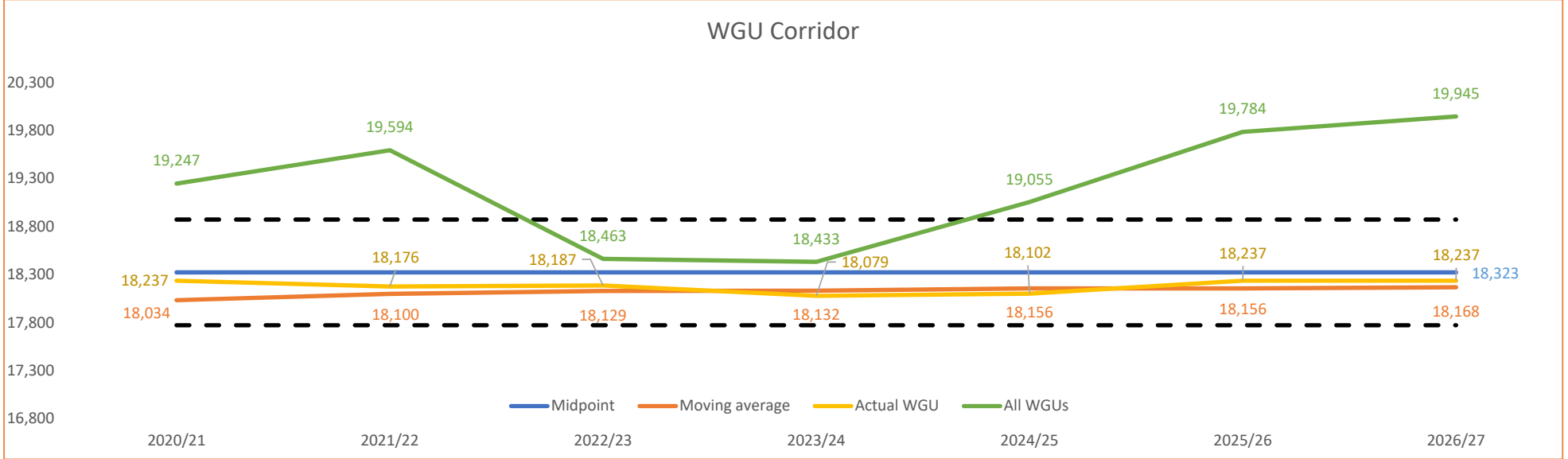


Note: Metrics 1-6 active during Year 1 (2020-21)  
 Metrics 1-9 active during Year 2 (2021-22)  
 Metrics 1-10 active during Year 3 (2022-23) and forward  
 (Metric 10: Skills & Competencies began in Fall 2022, as such there is no data prior to this year to report.)

Data not appearing indicates full allocation achieved



# MCU Enroment Based - Corridor Funding



# BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Dr. Lori Livingston, Provost and Vice-President, Academic

**SUBJECT:** International Student Recruitment Strategy Update

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**COMMITTEE/BOARD MANDATE:**

The Strategy and Planning Committee (Committee) is responsible for overseeing all aspects of the university’s strategic planning efforts, including the implementation and assessment of these plans in the context of the university’s vision, mission and values.

We are updating the Committee on our strategic approach to undergraduate student recruitment from international markets, including a brief summary on our efforts over the past year. The purpose is to prompt further discussion on what additional strategies we need to consider and/or pursue going forward.

**BACKGROUND/CONTEXT & RATIONALE:**

At its January 2022 meeting, the Committee engaged in a strategic discussion focused on the University’s international recruitment strategy. International recruitment remains a key priority for Ontario Tech and especially so given the anticipated continuation of domestic tuition freezes for some time to come. We remain resolute in our commitment to grow international enrolments to represent about 15% of the total student body.

The attached slide deck aims to provide the Board with critical information on: (a) past, present and future international student enrolments; (b) international student recruitment and market development activities; (c) international student supports; and, (d) our strategic and tactical priorities for 2023-2026. This presentation was delivered to the Committee on May 11, 2023.

**NEXT STEPS:**

A strategic and tactical approach to recruiting international students is critical to ensure that we realize our desired and sustainable year-over-year enrolment goals. Even though the pandemic is more or less behind us, we will need to continue investing effort into a broad array of recruitment initiatives and opportunities to ensure that we can attract and retain high-quality international students into the future.

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**SUPPORTING REFERENCE MATERIALS:**

International Strategy Update presentation will be provided at the meeting. Materials not provided in the public package due to market sensitive information.

# BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Lauren Turner, University Secretary

**SUBJECT:** 2023-2024 Board and Committee Schedule

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**COMMITTEE MANDATE:**

- In accordance with its Terms of Reference, the Governance, Nominations and Human Resources Committee (GNHR) “is responsible for providing advice to the Board on its governance structure and processes”.

**BACKGROUND/CONTEXT & RATIONALE:**

- GNHR was asked to review the draft schedules and select one for presentation to the Board of Governors.
- There are two proposed schedules. The first allows for a more even distribution of Board and committee meetings in response to requests from the Board. The second is consistent with the current schedule for 2022-2023.
- Note that in both schedules there is a new September/early October meeting which will be focused on business arising over the summer months, orientation for new Governors, PD, and team building.
- GNHR viewed both schedules as acceptable. The Secretariat recommends implementing the evenly spaces model as it distributes business more evenly throughout the academic year and schedules Committee meetings closer to Board meetings, allowing for more timely presentation of information.

**NEXT STEPS:**

Provided there are no concerns raised by the Board, the evenly spaced calendar will be deployed for 2023-2024, following the June Board meeting.

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**SUPPORTING REFERENCE MATERIALS:**

- Draft Board Schedule 2023-2024 - Even Meeting Spacing Model
- Draft Board Schedule 2023-2024

**DRAFT BOARD SCHEDULE 2023-2024 - Even Spacing Model**

<b>COMMITTEE</b>	<b>2023-2024</b>	<b>TIME</b>
<b>Audit &amp; Finance Committee</b>	<b>November 23, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>February 15, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>April 11, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>June 13, 2024</b>	<b>1:00 - 5:00 p.m.</b>
<b>Board of Governors Retreat</b>	<b>April 3, 2024</b>	<b>9:00 a.m. - 12:00 noon</b>
<b>Board of Governors</b>	<b>October 5, 2023</b>	<b>12:00 - 2:00 p.m.</b>
<b>Board of Governors</b>	<b>November 30, 2023</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors</b>	<b>February 22, 2023</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors</b>	<b>May 2, 2024</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors - AGM</b>	<b>June 27, 2024</b>	<b>9:00 a.m. - 3:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>November 2, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>February 1, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>March 21, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>June 6, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>November 16, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>February 8, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>April 3, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>June 20, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>OTHER DATES</b>		
<b>Convocation</b>	<b>June 2024 - TBD</b>	<b>TBD</b>

**DRAFT BOARD SCHEDULE 2023-2024**

<b>COMMITTEE</b>	<b>2023-2024</b>	<b>TIME</b>
<b>Audit &amp; Finance Committee</b>	<b>November 23, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>February 22, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>April 11, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Audit &amp; Finance Committee</b>	<b>June 13, 2024</b>	<b>1:00 - 5:00 p.m.</b>
<b>Board of Governors Retreat</b>	<b>May 9, 2024</b>	<b>9:00 a.m. - 12:00 noon</b>
<b>Board of Governors</b>	<b>September 28, 2023</b>	<b>12:00 - 3:00 p.m.</b>
<b>Board of Governors</b>	<b>November 30, 2023</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors</b>	<b>March 7, 2024</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors</b>	<b>May 2, 2024</b>	<b>12:00 - 5:00 p.m.</b>
<b>Board of Governors - AGM</b>	<b>June 27, 2024</b>	<b>9:00 a.m. - 3:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>October 19, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>January 25, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>March 28, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Governance, Nominations &amp; Human Resources Committee</b>	<b>May 23, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>November 2, 2023</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>January 11, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>March 14, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>Strategy &amp; Planning Committee</b>	<b>May 9, 2024</b>	<b>2:00 - 5:00 p.m.</b>
<b>OTHER DATES</b>		
<b>CCOU Conference</b>		<b>TBD</b>
<b>Convocation</b>	<b>June 2024 - TBD</b>	<b>TBD</b>

## BOARD REPORT

---

**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Laura Elliott, Board Chair

**SUBJECT:** Appointment of Board Secretary

---

**BOARD MANDATE:**

- To appoint the Board Secretary in accordance with Article 5.3 of By-law No. 1.

**BACKGROUND/CONTEXT & RATIONALE:**

- The University previously had a combined University Secretary and General Counsel. At times, the Assistant/University Secretary would serve as the Secretary of the Board of Governors.
- To ensure clarity, a practice of appointing the Secretary on an annual basis was adopted by the Board of Governors.
- In 2021 the University Secretary function was separated from the General Counsel role, however a permanent University Secretary was not appointed until August 2022 due to unforeseen circumstances.
- Now that a dedicated University Secretary has joined the University, it is recommended that Lauren Turner be appointed indefinitely for as long as she remains in the University Secretary role.

**MOTION FOR CONSIDERATION:**

*That the Board of Governors hereby appoints Lauren Turner as Secretary of the Board of Governors for as long as she holds the title of University Secretary.*



## BOARD OF GOVERNORS' 127<sup>th</sup> REGULAR MEETING

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Minutes of the Public Session of the Meeting of April 27, 2023  
12:30 p.m. to 1:38 p.m., Hybrid

### **GOVERNORS IN ATTENDANCE:**

Laura Elliott, Board Chair  
Maria Saros, Vice-Chair and Chair of Governance, Nominations & Human Resources  
Lynne Zucker, Vice-Chair and Chair of Strategy & Planning Committee  
Steven Murphy, President  
Mitch Frazer, Chancellor  
Carla Carmichael, Chair of Audit & Finance Committee  
Kathy Hao  
Thorsten Koseck  
Dale MacMillan  
Matthew Mackenzie  
Joshua Sankarlal  
Kim Slade  
Dwight Thompson  
Jim Wilson

### **REGRETS:**

Eric Agius  
Ahmad Barari  
Kevin Chan  
Kori Kingsbury  
Roger Thompson, Vice-Chair of Audit & Finance Committee  
Trevin Stratton

### **BOARD SECRETARY:**

Lauren Turner, *University Secretary*

### **STAFF:**

Jamie Bruno, *Chief Transformation and Organization Culture Officer*  
Sarah Cantrell, *Associate Vice-President, Planning and Strategic Analysis*  
Sara Gottlieb, *General Counsel*  
Barb Hamilton, *Legal Executive Assistant*  
Lee Hays, *Executive Director, Advancement*  
Krista Hester, *Chief of Staff*  
Les Jacobs, *Vice-President, Research and Innovation*  
Lori Livingston, *Provost & Vice-President, Academic*



Brad MacIsaac, *Vice-President, Administration*  
Kimberley McCartney, *Assistant University Secretary*  
Fiona Reddy, *Stewardship Officer, Advancement Office and Alumni Relations*

**1. Call to Order**

The Chair called the public session to order at 12:30 p.m. and read aloud the land acknowledgement.

**2. Agenda**

*Upon a motion duly made by L. Zucker and seconded by T. Koseck, the Agenda was approved as presented.*

**3. Conflict of Interest Declaration**

None.

**4. Chair's Remarks**

The Chair welcomed everyone to the meeting, welcoming Rachel Sumner, CEO of Ontario Tech TALENT and the guests tuning in remotely. She reminded governors about the upcoming strategic retreat and congratulated the President on being named a top 10 President social media influencer.

**5. President's Report**

**5.1 Board of Governors Award Recipient**

The President introduced Rachel Coe, an Ontario Tech student and recipient of a Board of Governors Award and the Chancellor's Scholarship. The President advised the Board of Governors that 127 students have benefitted from the Board of Governors Awards since 2014 and that donations made to the awards before May 31<sup>st</sup> will be awarded in September for the 2023/2024 academic year. Rachel Coe then shared with the Board her journey to the University and how the funding she has received has made her academic pursuits possible. The Board of Governors thanked Rachel for sharing her story.

Rachel Coe and Fiona Reddy left the meeting.

Mitch Frazer joined the meeting.

The President then shared with the Board the individuals upon whom honorary degrees will be conferred at June convocation and provided short biographies of each. He advised the Board that Ontario Tech will have its first fall convocation in October 2023 as well as celebrating the University's 20<sup>th</sup> anniversary.

## **6. Academic Council**

C. Carmichael presented the Academic Council update, drawing the Board's attention to consultation on the Integrated Academic Research Plan (IARP) 2023-2028, a thoughtful discussion about budgetary impacts and monitoring via metrics, and the approval of some changes to curriculum. She noted the creation of interdisciplinary programs and the sharing of interesting research pursuits as highlights of the March meeting.

## **Committee Reports**

### **7. Audit & Finance Committee (A&F) Report**

#### **Finance**

#### **7.1 Approval of 2023-2026 Budget**

C. Carmichael presented the 2023-2026 Budget, noting that A&F spent considerable time at its last meeting reviewing, challenging and discussing management's proposal. She provided a brief overview of the 2023-2026 Budget, highlighting the \$15.5 million increase from previous year's budget and the challenging context of the ongoing tuition and grant freeze. She drew the Board of Governors' attention to the alignment between the IARP and management's good work moving the University to a three-year financial outlook. She closed by pointing out three key risks in the budget: (i) budget sensitivity to enrolment assumptions; (ii) inability to fund all strategic requests; and (iii) use of operating reserves to fund operations.

B. Maclsaac briefly summarized the incremental hybrid model used to build the University's budget. He drew governors' attention to the \$227 million total expenditure and use of \$2 million in reserves for 2023-2024. The increase in budget was attributed largely to contractual increases in labour costs with some additional expenditures on scholarships and research. The Provost then discussed the methodology by which budgetary requests were prioritized, emphasizing that the priorities in the IARP drive the budget. She advised the Board that budget discussions were focused on both where to allocate funds and where to re-allocate them when necessary. She provided some examples, including a \$1.7 million investment in information technology capital expenditures and physical space, both necessary prerequisites of ensuring innovative programming for planned student growth. She then described a number of areas of investment, including student-focused mental health supports and equity, diversity and inclusion initiatives, and efforts to recruit international students.

B. Maclsaac then discussed the multi-year outlook, emphasizing to the Board that the out-year projections assume no increases to domestic tuition or grants. He noted that labour cost increase assumptions are built into projections, but that all

collective agreements will come up for negotiation during this three year period. He advised that the Finance team is working closely with the Human Resources team to ensure assumptions remain valid. In the next two years, the University is expected to maintain a balanced budget, but by the third year will face a \$5 million deficit.

A discussion then ensued on the 2023-2026 Budget. In response to a question, B. Maclsaac confirmed that non-profitable areas such as ancillary services may receive funds in order to build future capacity and that projects not funded in a particular year may receive funding in the future if needed. The Provost added that cuts made during the COVID-19 pandemic are being re-evaluated in the current context. In response to a question, B. Maclsaac confirmed that flexible work has resulted in savings in administrative office space but online course offerings have not resulted in a reduction in instructional or student work space. The latter is being reviewed by the leadership team and the Office of the Registrar; different approaches to scheduling classes are being explored. The Provost added that while online course offerings increase accessibility for non-traditional students, many students want the on-campus experience and choose a university for that reason.

*Upon a motion duly made by C. Carmichael and seconded by M. Mackenzie, pursuant to the recommendation of the Audit and Finance Committee, the Board of Governors approved the 2023-2024 budget and approved in principle the budgetary projections for 2024-2025 and 2025-2026.*

## **7.2 Risk Management Annual Report**

C. Carmichael presented the Risk Management Annual Report, noting that the Annual Accessibility Report is contained therein. She highlighted the role of governors in the oversight of risk management at the University, including monitoring risks and mitigations. She drew governors' attention to the nine "high" rated risks and their mitigation plans. The Chair thanked C. Carmichael and other governors who have engaged with senior leadership on the development of risk reporting and provided a brief summary of the transformative path the risk program has been on for the last two years. C. Carmichael commented that reporting on risk is always a delicate balance between imparting sufficient meaningful information for governors to understand risk while keeping a clean and crisp presentation format.

A discussion then ensued on the Report. In response to a question, B. Maclsaac confirmed that funds for adaptive technology work stations will come from a grant and therefore falls outside of the operating budget. In response to a comment

supportive of the heat maps and trend arrows, B. MacIsaac advised the Board that refreshing risk appetite levels was critical to heat map creation. He further advised that in the next few months the strategic risks faced by the University will be reviewed for the first time since 2008. The Chair congratulated the leadership team on enhancing accessibility beyond the built environment, citing the critical importance of changing attitudes and customer service standards. In response to a question, B. MacIsaac confirmed that enhanced timeline reporting on risk mitigation activities is planned. The Board recommended that management consider including cyber risk as a strategic risk due to its prevalence across all sectors and the need for preparedness.

**8. Governance Nominations & Human Resources Committee (GNHR) Report**

M. Saros presented the GNHR Report, advising the Board that the Board and Committee Practices Assessments will be available for input following today's meeting; she requested that all governors participate in the Assessments. She summarized the purpose of the Assessments and highlighted that data that is as complete as possible will allow the Board of Governors to assess engagement and efficacy of governance and meeting structures.

**9. Strategy & Planning Committee (S&P) Report**

L. Zucker presented the S&P Report, welcoming Mike Rencheck to the Committee. She advised the Board that the Committee received a real estate update and was pleased to hear that the University's leased space is now less than 6%. She noted that student housing needs were discussed in the context of the Sticky Campus strategic objective, the availability of rental housing in Durham Region, and student preferences. She also noted an update on two new research initiatives: hydrogen commercialization and small modular reactor supply chains. She provided an update on the Brilliant Catalyst initiative and the expected updates of intellectual property policies and noted that the sub-critical nuclear assembly project is having ongoing community consultations. She closed with an on-track report on capital projects and encouraged the Board to review the package on micro-credentials. In response to a question, B. MacIsaac advised that the move to multi-year budgeting as well as a small number of capital projects valued in excess of \$50,000 has helped the University to stay on track with milestones and timelines. He reminded the Board of Governors that there was a \$2 million reserve at the end of the 2022/2023 year set aside to address supply chain issues. In response to a further question, he confirmed that there are contingencies built into project plans and further advised that a \$2 million grant from the government for facilities renewal is anticipated. Should a project be behind schedule, the funds from that grant will be moved to another eligible expense to ensure their use in the fiscal year.

**10. Consent Agenda:**

*Upon a motion duly made by L. Zucker and T. Koseck, the Consent Agenda was approved as presented.*

- 10.1 Minutes of Public Session of Board Meeting of March 9, 2023**
- 10.2 Minutes of Public Session of A&F Meeting of February 22, 2023**
- 10.3 Minutes of Public Session of GNHR Meeting of January 26, 2023**
- 10.4 Minutes of Public Session of S&P Meeting of January 12, 2023**
- 10.5 Campus Master Plan**
- 10.6 Election Results**
- 10.7 Annual Board and Committee Practices Assessment**
- 10.8 Micro-credentials**
- 10.9 Capital Project Tracking Sheets**
- 10.10 Amendments – 2023-2024 Tuition & Ancillary Fees**
- 10.11 Credit Rating Update**

**11. Adjournment**

*Upon a motion duly made by T. Koseck, the public session adjourned at 1:38 p.m.*

Lauren Turner, University Secretary



**BOARD OF GOVERNORS**  
**Audit & Finance Committee (A&F)**

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**Minutes of the Public Session of the Meeting of April 12, 2023**  
**2:00 p.m. to 3:52 p.m. Videoconference**

**Attendees:** Carla Carmichael (Chair), Laura Elliott, Kathy Hao, Thorsten Koseck, Dale MacMillan, Steven Murphy, Roger Thompson

**Regrets:** Mitch Frazer, Kim Slade

**Staff:** Sarah Cantrell, Jacqueline Dupuis, Krista Hester, Lori Livingston, Brad MacIsaac, Kimberley McCartney, Lauren Turner

**1. Call to Order**

The Chair called the meeting to order at 2:00 p.m., read aloud the land acknowledgement, and reflected on the lands of both Ontario and Florida.

**2. Agenda**

*Upon a motion duly made by R. Thompson and seconded by D. MacMillan, the Agenda, including the contents of the consent agenda, was approved as presented.*

**3. Conflict of Interest Declaration**

There was none.

**4. Chair's Remarks**

The Chair welcomed participants to the meeting and thanked them for attending. She wished members and participants a happy Passover and blessed Ramadan.

**5. President's Remarks**

The President updated the Committee on recent events including the Experience Days spring open house, and visits by Ministers and other dignitaries. He congratulated all those involved in their respective successes. He outlined the many ways in which the University is doing well, including the increase in research funds and applications as well as brand awareness. He then remarked on the difficult financial context in which the University operates, stating that the impact on Ontario Tech will be significant if there are no changes to the freezes of grants and tuition. He described some of the avenues to alleviate financial pressure that the leadership team is exploring. In response to a question, he advised the Committee that he regards the financial risk to be high but would consider

upgrading it to extreme if the government takes no action; conversely, the risk could lower to medium if the financial situation improves.

## **6. Finance**

### **6.1 Approval of 2023-2026 Budget**

The Committee Chair provided opening remarks on the 2023-2026 Budget, advising that she has been in discussions with the leadership team. She congratulated the team on moving ahead with the transition to a 1-year budget with a 3-year view aligned to the Board-approved strategic plan.

B. Maclsaac then reminded the Committee of the modified cash basis used by the University to create the budget; a practice common across the higher education sector. He discussed the strategic priorities that drive the budget and the difficult deliberations of the Budget Working Group when allocating scarce discretionary resources. He advised the Committee that the requests for funding were numerous and valid, each one critically assessed against its potential contribution to achieving the objectives of the Integrated Academic Research Plan. He highlighted the importance of balance, not only in the budget, but in priorities. To illustrate, he discussed the need to act with the need for prudence; the former reflected in the University making plans to increase enrolment and expand capacity and the latter in not exceeding existing funds. He underscored the importance of being poised to capitalize on future opportunities.

S. Cantrell discussed the enrolment plan underpinning the budget, advising that it balances demand and capacity with growth when possible. She noted that there is a focus on both recruitment and retention rates and gave an overview of the COVID-19 pandemic's impact on the latter. She advised that the 14% international enrolment target is achievable by the end of this planning period.

B. Maclsaac presented a detailed review of the 2023-2024 budget summary, advising that approximately 5% of the budget can be allocated to discretionary spending after contractual and operational obligations are met. He drew the Committee's attention to the newly differentiated category of operating revenue, citing Brilliant Catalyst as an example. He noted the ongoing impact of the debenture on the University's finances, which draws \$3 million from the operating budget. He also commented on labour costs, both the contractually obligated growth as well as the need for certain full time equivalent increases. He noted that the majority of the latter come from revenue generating units.

The Provost discussed the twin priorities of growth and retention of students. She advised the Committee that over \$8 million of the proposed budget is dedicated to innovative programming that will enhance the classroom and student experience. She discussed increases to teaching assistant and sessional hiring to support student growth as well as investments in cooperative and experiential learning. She discussed the \$4.5 million allocated to differentiated technology and physical space such as simulation labs, investments in information technology, and

deferred maintenance. Aligned to the priorities of sticky campus and learning re-imagined, she highlighted scholarships, financial aid, supporting student mental health and the allocation of funds for a full-time Indigenous Knowledge Keeper.

B. MacIsaac closed the presentation by looking to the future and discussing risks. He advised that the requested tuition anomaly increases won't materially impact the budget even if granted. He discussed increasing expenses, and projections assuming flat tuition. He advised that while the leadership team is making efforts to bring forward balanced budgets, government freezes are exerting pressure on the University. With respect to risk, he advised that some mitigations can be made without costs – for example, creating or clarifying policies or procedures. Others require financial investment, which are incorporated into budgetary assumptions and projections and are also monitored. He commented on contingency funds set aside for emergency repairs.

A discussion then ensued on the proposed budget. In response to a question, B. MacIsaac clarified that the teaching staff complement was consciously increased beginning six years ago to accommodate enrolment growth. As the desired ratios of students to teaching staff have now been achieved, recruitment is also plateauing. In contrast, administrative staff were cut or hirings frozen during the pandemic; the requested increase in administrative full-time equivalents reflects pent up demand from the last three or four years. In response to a different question, S. Cantrell discussed some of the growth projections for the University, noting that figuring out the right size for Ontario Tech is a question of sustainability. In the medium term, the University seeks to grow to 18,000 students. In response to a further question, the Provost advised that the number of applicants directly out of high school in the Greater Toronto Area are starting to rise. The Committee made further positive comments about the priorities espoused in the budget and expressed a willingness to assist with advocacy.

*Upon a motion duly made by L. Elliott and seconded by D. MacMillan, pursuant to the recommendation of management, the Audit and Finance Committee recommends to the Board of Governors approval of the 2023-2024 budget and approval in principle of the budgetary projections for 2024-2025 and 2025-2026.*

## **6.2 Amendments – 2023-2024 Tuition & Ancillary Fees**

S. Cantrell presented the amendment to the 2023-2024 Tuition Fees, reminding the Committee that the potential to increase fees for a few programs was shared at the last meeting. She advised that since then, the University has requested the maximum allowable increase to three programs with tuition below sector averages from the Ministry of Colleges and Universities.

*Upon a motion duly made by R. Thompson and seconded by L. Elliott, the Audit & Finance Committee hereby approves the 2023-2024 Tuition Anomaly proposal to increase tuition fees in Computer Science, Engineering and Commerce for new/incoming domestic students up to the maximum 7.5% increase.*



S. Cantrell then presented the amendment to the 2023-2024 Ancillary Fees, advising that the requested increase is the result of systemic analysis of cooperative education fees. Noting the requirements to build cooperative experiences for students, she advised that the fee increase will bring the University into line with the system average.

*Upon a motion duly made by D. MacMillan and seconded by T. Koseck, the Audit and Finance Committee hereby recommends an increase to the current internship/co-operative education fee to \$3,600 for Fall 2023 as presented, for approval by the Board of Governors.*

## **7. Investment Oversight**

### **7.1 Endowment Disbursement**

B. MacIsaac presented the Endowment Disbursement, advising the Committee that the proposal represents a 3-4% disbursement with the preservation of capital.

*Upon a motion duly made by T. Koseck and seconded by D. MacMillan, the Audit and Finance Committee, in conjunction with Strategy and Planning Committee, hereby recommends that the Board of Governors approves the disbursement of up to \$750,000 from the University's endowed fund and unrestricted expendable sources for distribution by Financial Aid in 2023-24.*

## **8. Risk Management Annual Report**

J. Dupuis presented the Risk Management Annual Report, providing an overview of the evolution of the risk program and its reporting in response to Board-level feedback and consultation. She discussed risk assessment methodology and data sources, including direct input from risk owners. She advised the Committee of the ongoing review of risk appetite and assessment of risk acceptance versus risk avoidance or rejection. In response to a question, J. Dupuis advised that mitigation of the risk posed by artificial intelligence (AI) is largely operational in nature, adding that every institution in the sector is facing challenges. A discussion then ensued on further considerations for risk leadership, including management of catastrophic risk, monitoring issues logs, and integration of risk mitigation strategies into other areas such as emergency management.

## **9 Consent Agenda**

**9.1** Minutes of Public Session of A&F Meeting of February 22, 2023

**9.2** Credit Rating Update

## **10. Adjournment**

*Upon a motion duly made by R. Thompson, the public session adjourned at 3:52 p.m.*

Lauren Turner, University Secretary



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

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**Minutes of the Public Session of the Meeting of March 30, 2023**  
**2:00 p.m. to 2:15 p.m. Videoconference**

**Attendees:** Maria Saros (Chair), Kori Kingsbury, Steven Murphy, Dwight Thompson

**Regrets:** Laura Elliott, Trevin Stratton

**Staff:** Jamie Bruno, Sarah Cantrell, Sara Gottlieb, Barbara Hamilton, Krista Hester, Lori Livingston, Kimberley McCartney, Lauren Turner

**1. Call to Order**

The Chair called the meeting to order at 2:00 p.m. and read aloud the land acknowledgement.

**2. Agenda**

*Upon a motion duly made by D. Thompson and seconded by K. Kingsbury, the Agenda, including the contents of the consent agenda, was approved as presented.*

**3. Conflict of Interest Declaration**

There was none.

**4. Chair's Remarks**

The Chair welcomed everyone to the meeting, wishing Muslim friends and colleagues a blessed Ramadan. She welcomed Dwight Thompson to his first meeting as a member of the Committee.

**5. President's Remarks**

The President updated the Committee on a number of recent events on campus including the 3 Minute Thesis competition, the Teaching and Learning Conference, the Celebrate Teaching! Awards, and the athletic awards gala. He also noted that last weekend was the Experience Days spring open house, which was well attended at both the north and downtown campuses; he thanked all those who participated. He closed by advising the Committee that the Government of Ontario's Blue-Ribbon Panel has begun its work and a report is expected in the summer. In response to a question, he confirmed that the scope of the Panel's review is the entire higher education sector.

**6. Governance**

**6.1 Annual Board and Committee Practices Assessment**

The University Secretary presented the Annual Board and Committee Practices Assessment, noting that the Assessments are largely unchanged from last year. Following a brief discussion, no revisions to either Assessment was requested by the Committee.

**7. Consent Agenda**

**7.1 Minutes of the Public Session of the Meeting of January 26, 2023**

**7.2 Respectful Campus Policy & Procedures**

**8. Adjournment**

*Upon a motion duly made by K. Kingsbury, the public session adjourned at 2:15 p.m.*

Lauren Turner, University Secretary

**BOARD OF GOVERNORS**  
**Strategy & Planning Committee (S&P)**

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**Minutes of the Public Session of the Meeting of March 22, 2023**  
**2:00 p.m. to 4:03 p.m. Videoconference**

**Attendees:** Lynne Zucker (Chair), Eric Agius (Interim Chair), Ahmad Barari, Kevin Chan, Laura Elliott, Mitch Frazer, Matthew Mackenzie, Steven Murphy, Michael Rencheck, Joshua Sankarlal, Jim Wilson

**Staff:** James Barnett, Sarah Cantrell, Sara Gottlieb, Les Jacobs, Lori Livingston, Brad MacIsaac, Fiona McArthur, Kimberley McCartney, Lauren Turner

**1. Call to Order**

The Chair called the meeting to order at 2:00 p.m. and read aloud the land acknowledgement.

**2. Agenda**

*Upon a motion duly made by M. Rencheck and seconded by E. Agius, the Agenda was approved as presented.*

**3. Conflict of Interest Declaration**

There was none.

Kevin Chan joined the meeting.

**4. Minutes of Public Session of Meeting of January 12, 2023**

*Upon a motion duly made by M. Rencheck and seconded by M. Mackenzie, the Minutes were approved as presented.*

**5. Chair's Remarks**

The Chair welcomed the Committee and guests to today's meeting; she also welcomed Michael Rencheck to his first meeting as a Committee member. The Chair then commented positively on two recent professional development sessions for governors: (i) L. Jacobs presented on Faculty Research in February; and (ii) the morning's session on Telling Our Story. She also highlighted the recent Project Arrow tour, expressing pleasure at having the opportunity to speak to the students who worked on the concept car. Turning to the day's agenda, she encouraged Committee members to bring their expertise to bear on the important items before them.

Ahmad Barari and Mitch Frazer joined the meeting.

## **6. President's Remarks**

The President provided an update on a number of items including the striking of the Government of Ontario's Blue-Ribbon Panel, the growth of the University's in-demand programs and the growth in Ontario Tech's research funding and standing as a small research-intensive university. To attempt to mitigate financial pressures from the ongoing tuition and grant freeze, he highlighted strategies in three key areas: (i) growth in high-demand areas; (ii) growth in international student enrolment to a targeted 15%; and (iii) leveraging real estate. He advised the Committee that while the University hopes that the province will agree to an across-the-board tuition increase, planning will proceed on the assumption that there will not be one. He then acknowledged the work of the Provost on the Integrated Academic Research Plan, its uniqueness in higher education, and the forthcoming targets which will be presented to the Committee later in the spring. He closed by commenting on the passing of Helen Vari, who, along with her late husband George, was a great friend and generous donor to the higher education sector.

## **7. Advancement**

### **7.1 Strategic Discussion: Campus Master Plan**

B. Maclsaac presented an overview of developments on the Campus Master Plan over the last 14 months, highlighting investments in the downtown campus, the reduction of leased space, significant renovations in Charles Hall, and a successful reclassification of Charles Hall with the Ministry to make it eligible for a renewal grant. He noted the recent purchase of 55 Bond Street, which is also aligned with the Plan.

He then turned to the enrolment scenarios described in the materials, outlining the attendant expansion in space needs for each. Space, it was noted, includes not only academic spaces but also commercial services such as food and housing as well as transportation. B. Maclsaac advised that the University has significant volumes of potential expansion designs should government funding become available. He also noted that revisions to the joint campus master plan are underway with Durham College along with discussions about future building placements. B. Maclsaac ended his remarks with the subject of housing, highlighting the University's shift towards a "Sticky Campus" from a previous commuter campus orientation.

The Committee congratulated the leadership team on reducing the ratio of leased space to 6%. In response to a question, B. Maclsaac confirmed that attracting international students is a key consideration in the discussion about housing and that the Ontario Tech Student Union has been engaged on the issue. A consultant retained by the University has collected survey data that shows an unmet demand for housing and an international student preference to reside on campus.

Kevin Chan left the meeting.

In response to a question about lease reductions, B. Maclsaac confirmed savings of \$1.2 million/year by moving out of 11 Simcoe and no additional cost to moving into Campus Corners. He highlighted the benefits of lease-to-own partnerships, including building assets, on the University's financial statements. In response to a question, B. Maclsaac confirmed that space needs were modelled on significant reduction from sector standards recognizing the University's drive for efficiency as well as aggressive reductions in administrative space. He advised that the Provost's Office has detailed data that allows for accurate assessments of instructional space needs. The Provost added that the Integrated Academic Research Plan pushes the University towards increased hybrid and virtual course offerings; she cautioned however that some programs do not lend themselves to those platforms due to professional accreditation requirements or learning and competency expectations.

A discussion of housing considerations then ensued. J. Sankarlal shared student concerns, including reductions in OSAP, pressure on living expenses, and the importance of safe accommodations. With respect to the latter, the potential vulnerability of international students due to language barriers was highlighted. In response to a comment, B. Maclsaac confirmed that he will work with the Provost to determine the best path for consultation with the broader University community on the issue. In response to a question, B. Maclsaac advised that the University surveys students who decline offers to the University; he further advised that first year residence is guaranteed.

## **7.2 Research Strategy**

L. Jacobs presented the Research Strategy, noting that this discussion builds on the presentation delivered during an optional professional development session in February. He shared the view that commercialization of research is a unique differentiator at the University, particularly its approach of responding to partners' needs with specific research activities.

He then discussed two initiatives immediately on the horizon for the University: (i) a hydrogen commercialization and demonstration centre; and (ii) supply chains for small modular reactors (SMRs). With respect to the former, he shared that over \$1 million in public grants have been secured and a soft launch is proximate. He invited Committee feedback on indicators of success and the University taking a leadership stance in these spaces. In response to a question, L. Jacobs confirmed that the University has Brilliant Venture and an accelerator incubator. He also noted Brilliant Catalyst and how it is part of the same ecosystem, sharing that there are 130 startups in his office. The Committee suggested ensuring that problem-solving for industry and the attraction of venture capital and capitalization on intellectual property (IP) be defined separately. In response to a question about IP and incentivization of academics to participate, L. Jacobs advised that the IP Policy is being refreshed this year to align with those objectives.

L. Jacobs advised the Committee that the first chair of SMR was named this year and that the University is currently seeking technical and marketing staff. A discussion then ensued on metrics and reputational impacts. The Committee encouraged a thoughtful approach to alignment between research endeavors and the overall reputation that the University is seeking to build. A brief discussion ensued on the benefits of multidisciplinary projects and not focusing solely on a program or initiative's profitability.

### **7.3 Micro-credentials**

S. Cantrell provided opening remarks on Micro-credentials, advising the Committee that Ontario Tech has piloted innovative offerings for the last few years that upskill both traditional and non-traditional students; efforts are now moving towards scalability of micro-credential programming.

Jim Wilson joined the meeting.

F. McArthur then provided an overview of the micro-credentials available at Ontario Tech, highlighting a focus on authentic assessments and demonstrable evidence of learning. She shared with the Committee the pathways that learners may pursue, some of which are integrated into academic programming. She described the grant funding received from the TD Ready Commitment and some of the practical skills that learners can obtain; she noted that Ontario Tech owns the intellectual property at the end of the contract. Turning to the sustainability of offering micro-credentials, she advised the Committee that a process for development and approval of expanded content is being formalized.

A discussion then ensued on the potential of micro-credentials. In response to a question, S. Cantrell confirmed that a future state may include university credits built on micro-credentials. In response to another question, S. Cantrell advised that the audience for micro-credentials is both students and those external to the University. She highlighted the value of career readiness skills for students. In response to a further question, she expressed the view that the offerings from Ontario Tech TALENT are sufficiently distinct, particularly in the award of digital badges, to allow both organizations to succeed.

Looking to the future, S. Cantrell advised the Committee that a white paper is currently underway that outlines opportunities, describes synergies with academic and student success goals, and presents a sustainable business model that diversifies the University's portfolio of offerings. A brief discussion ensued on defining success, a future state of University-level credentials with plug-and-play components, and the changing ways that employers approach training and development for employees.

## **8. Planning**

### **8.1 Board Retreat Update**

The President provided an update on Board Retreat planning, advising the Committee that K. Menard has been retained as a facilitator; he provided a brief summary of her qualifications. Building on the momentum of the professional development session this morning, the Retreat will focus on refining and crystallizing key messages about the University and to solidify a plan for governors' ambassadorial roles.

## **9. Significant Project & Contract Oversight**

### **9.1 Capital Project Tracking Sheets**

B. MacIsaac presented the Capital Project Tracking Sheets, noting the revisions made in response to Committee and Board feedback. He drew the Committee's attention to investments in infrastructure that will lead to energy savings and forward-looking investments in Information Technology including future migration to the cloud. With respect to the latter, he noted that there will be a discussion about this next year that will include considerations of flexibility and security.

### **9.2 Subcritical Nuclear Assembly**

L. Jacobs presented an update on the Subcritical Nuclear Assembly, highlighting the public announcement launch at the Canadian Nuclear Association in February and ongoing engagement and consultation activities.

### **9.3 Brilliant Venture**

L. Jacobs presented on Brilliant Venture, a new initiative that drives forward the mandate to democratize entrepreneurship at the University. He noted that most leading universities have a venture fund of some sort and that Ontario Tech wishes to compete on that stage alongside them. He went on to advise the Committee that he has been working closely with S. Gottlieb with the aspiration of starting to fund startups in the fall. The Committee expressed enthusiasm for Brilliant Venture. In response to a question, L. Jacobs shared that assessors of potential startups will include himself, the President and Vice-Chancellor, the Vice-President, Administration, the Deputy Provost and the Director, Creativity & Entrepreneurship; the due diligence process is under development. In response to a further question, L. Jacobs confirmed that communications about Brilliant Venture are also in development and that he will be working with the Advancement Office on potential synergies.

## **10 Adjournment**

*Upon a motion duly made by E. Agius, the public session adjourned at 4:03 p.m.*

Lauren Turner, University Secretary



## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Brad Maclsaac

**SUBJECT:** 2023-2024 Endowment Disbursement

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**BOARD/COMMITTEE MANDATE:**

The Board of Governors is responsible for overseeing the financial affairs of the University with respect to all auditing, financial reporting, and system controls, budget approval, and investment of the university's endowment funds to ensure that appropriate financial controls, reporting processes and accountabilities are in place at the University.

As outlined in the Endowment Management Policy and Procedures, approval of the disbursements is to be recommended by both the Audit and Finance and Strategy and Planning Committees to the Board of Governors.

This memo is to seek the Board of Governors recommendation of a maximum spending level from the Endowment portfolio for fiscal year 2023-2024.

**BACKGROUND/CONTEXT & RATIONALE:**

This report will highlight earnings, disbursements, and the net position of the Endowment fund.

Endowments typically accumulate assets and disperse income to beneficiaries over extended periods of time. Ontario Tech's Endowment consists of funds, largely donations secured through Advancement, which are set aside permanently with a portion of investment returns used to support specific student awards as directed by the Donor. Part of Ontario Tech's endowment philosophy includes 'capital preservation' (i.e. adjusting the capital value by inflation) so as to preserve the purchasing power of the awards. Effective oversight requires facing the contradictory goals of maintaining a target spending rate and preserving the real value of the fund while operating in an environment of unpredictable shifts in markets.

In general, donor agreements set out an expectation of up to 4% disbursement of the inflation-adjusted principal (original donation). Increases in donor awards are in discrete increments and vary by award. Ontario Tech assumes the long-term sustainability is supported by establishing a disbursement rate of approximately 3-5% based on a variety of reports (i.e. Morneau Shepell's Funding Sustainability [report.](#))

Over time, the value of the portfolio has experienced significant growth. A summary of the current portfolio cumulative balances (as at March 31) are as follows (all numbers in 000's):

Endowed balance as at March 31 ('000s)		2020 Actual	2021 Actual	2022 Actual	2023 Forecast	2024 Proposed
Donations (Principal Value)	A	17,892	18,616	19,158	19,768	20,378
Realized Income (ii)	B	8,959	9,760	10,608	11,463	12,302
Awards disbursed	C	(3,420)	(4,131)	(4,849)	(5,361)	(5,948)
<b>Total adjusted cost base</b>	<b>D=A+B+C</b>	<b>23,431</b>	<b>24,245</b>	<b>24,916</b>	<b>25,870</b>	<b>26,733</b>
<b>Market Value</b>	<b>E</b>	<b>26,020</b>	<b>31,771</b>	<b>33,123</b>	<b>32,992</b>	
<b>Unrealised Gains (iii)</b>	<b>F=E-D</b>	<b>2,589</b>	<b>7,526</b>	<b>8,206</b>	<b>7,123</b>	

#### Key facts:

- i. There are currently 134 specific endowed funds.
- ii. Realized income net of fees (i.e. interest, dividends, realized gains) has averaged 4.4% since 2004
- iii. With the deterioration of both the bond and equity markets in the last 12 months, total adjusted unrealized gains on the endowment fund have decreased over the last year and are projected to be at \$7.1M at the end of fiscal year 2022-2023.

Disbursement amounts and number of awards have been as follows:

Disbursement Year	No of awards disbursed	Amount (\$'000's)	Distrib. % <sup>1</sup>
2018	261	\$475	3.0%
2019	309	\$617	3.7%
2020	277	\$493	2.7%
2021	409	\$711	3.8%
2022	409	\$700	3.5%
2023 Forecast	411	\$710 <sup>2</sup>	3.5%
2024 Proposed	455	\$750 <sup>2</sup>	3.3%

<sup>1</sup> Presents distributions as a percentage of inflation adjusted donations

<sup>2</sup> Due to the higher level of capital preservation in 2022/23, some of the newer endowment funds have not generated sufficient investment income and capital gains to support the endowed disbursements. The disbursements for these Funds are being partially funded by unrestricted expendable sources (\$200k in 2022/23 and \$279k in 2023/24).

## **CONSULTATIONS:**

The university's Endowment Committee consists of representatives from Finance, Advancement and Financial Aid.

Due to increased donations and a stable portfolio, Ontario Tech has been able to increase disbursements over the last couple of years. In the current environment of high interest and inflation rates, the committee notes that it is even more critical than ever to continue to support students.

Based on a review of the portfolio performance, and allowing for a capital preservation of 3.0% (average inflation rates over the last 4 years), the Committee recommends a maximum disbursement of \$750k from the endowment fund which would allow support of 455 students whilst still preserving the capital of the fund.

The Committee continues to review the performance of the endowment fund, the impact of inflationary pressures, and the ability of the University to continue to disburse awards to students in the future, including the disbursement of a portion of the unrealized gains on the fund. A review of the endowment policy and procedures is underway.

## **MOTION:**

*That, pursuant to the joint recommendations of the Audit and Finance and Strategy and Planning Committees, the Board of Governors hereby approves the disbursement of up to \$750,000 from the University's endowed fund and unrestricted expendable sources for distribution by Financial Aid in 2023-24.*

## **SUPPORTING REFERENCE MATERIALS:**

N/A



# **Audit & Finance Committee**



## **2022-2023 Annual Report**

# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### Financial Statements 2022-23

- Quarterly reporting & year-end financial reporting
- Credit rating update

### Audited Financial Statements 2022-23

- Engagement Audit Plan
- Audited financial statements
- Receipt of Audit Findings Report
- Auditor performance review

### Budget for 2023-24

- Update on assumptions, targets & outcomes
- Enrolment updates
- Multi-year financial model & forecasting
- Recommendation of 2023-24 budget to Board of Governors
- Recommendation of endowment disbursement

### Budget for 2024-25; 2025-26

- Recommended approval in principle of budgetary projections

# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### **Risk Management**

- Oversight of risk management processes, including risk parameters and appetite
- Monitoring risks and mitigations
- Regular reporting on significant risks
- Annual Report
  - Includes annual insurance report
- Annual policy & privacy reports

### **Capital Projects & Acquisitions**

- 55 Bond Street

### **Student fees**

- Recommendation of tuition & ancillary fees for 2023-2024

# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### Investment Committee Oversight

- Receipt of bi-annual reports
- Review of Statement of Investment Policies (SIP)

### Policy Development & Review

- Freedom of Expression Annual Report
- University Driving Policy
- Personal Health Information Privacy Policy
- Expenditure Signing Authority Procedures
- Rescind: International Agreements Procedure

# Accomplishments

## Terms of Reference

- Reviewed committee Terms of Reference

## Financial & Audit

- Committee reviewed & discussed quarterly reports, allowing for ongoing assessment of opportunities & risks
- Recommended purchase of currently leased building to the Board of Governors
- Conducted auditor performance review
- Received credit rating update
- Recommended disbursement of up to \$750,000 from the Endowment Funds to be distributed as awards in 2023-24



# Accomplishments

## Financial & Audit (cont'd)

- Audited financial statements for the university's Pension Plan were presented to the committee by KPMG
- Recommended Audited Financial Statements for approval
- Recommended internally restricted funds for approval
- Received recommendations from, and is overseeing remediation of, Auditor General's Value for Money Audit
  - Oversight of University submission to Auditor General in November 2022
  - Receipt of University remediation plan in March 2023
- Received report on Ontario Internal Audit of the University with all items either substantially or fully implemented

# Accomplishments

## Budget for 2022-2023

- Oversight of the 2022-2023 budget in a challenging financial environment (ongoing tuition and grant freeze)

## Budget for 2023-24

- Recommended the 2022-23 budget for approval by the Board

## Budget for 2024-25, 2025-26

- Recommended approval in principle of budgetary projections for additional two years in line with multi-year planning approach

## Student Fees

- Recommended the 2023-24 tuition & ancillary fees amendments for approval by the Board

# Accomplishments

## Investment Oversight

- Received bi-annual reports
- Recommended amendments to the Statement of Investment Policies

## Risk Management & Compliance

- Receipt of the second Freedom of Expression Policy Annual Report
- Oversight of the continued development of the University Risk Management (URM) framework
- Folded Compliance reporting into URM quarterly reports
- Received the Annual URM Report
- Continued oversight of privacy and compliance
- Received annual Safe Disclosure report

# Accomplishments

## Strategic Discussions:

- Budget Assumptions
- Multi-Year Planning
- Sector Trends – View of the External Auditor

## Policy:

- University Driving Policy
- Personal Health Information Privacy Policy
- Expenditure Signing Authority Procedures
- Rescind: International Agreements Procedure



# In Progress

## Financial

- Continued oversight of the university's debenture strategy

## Risk Management & Compliance

- Continued development of URM program
- Implementation of University Continuity Management Policy & program
- Continued oversight of university's compliance program
- Continued oversight of university's insurance program

## Contracts

- Implementation of the Contract Management & Legal Suite systems

# Future Planning

## Audit

- Continued updates on progress against AG VFMA recommendations
- Proposal for internal audit function

## Investment

- Continued oversight of the investment of the university's endowment funds

## Policy

- Endowment Policy/Procedure
- Debt Policy

# Future Planning

## Risk Management & Compliance

- Review of University's strategic risks
- Ongoing refinement of URM regular reports
- Continue to mature University risk appetite

**BOARD REPORT**

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Niall O’Halloran, Manager, Privacy & Policy

**SLT LEAD:** Sara Gottlieb, General Counsel

**SUBJECT:** Annual Policy Report

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**COMMITTEE MANDATE:**

- The Audit and Finance Committee is responsible for overseeing compliance and risk management, and other internal systems and control functions at the university.
- This oversight includes receiving regular reports from management on areas of significant risk to the university including compliance and regulatory matters, as well as policy development and approvals at the university, in accordance with the Policy Framework. Policies are a key compliance tool.

**BACKGROUND/CONTEXT & RATIONALE:**

- The purpose of this report is to update the committee on the ongoing policy development activities taking place throughout the university. These initiatives are being supported by the University Secretariat in collaboration with the Office of the General Counsel.
- The university's Policy Framework was initially approved in November 2014. Since then, its implementation has been treated as a change management project. This undertaking involved educating the university community about the new consultation, review, and approval processes, as well as emphasizing the significance of policies for enhancing efficiency and communication throughout the institution.
- We have seen policy activity over the past year, including revisions to: policies regulating governance processes for approval and review of academic programs; undergraduate academic regulations; and Financial compliance policy instruments related to expenses.



- This report was presented to the Audit & Finance Committee on June 14, 2023.

### **Policy Update**

- Since June 1, 2022, a total of 6 new and 17 amended policy instruments have been approved in accordance with the Policy Framework. This marks an increase from the previous year, which saw 20 new or amended instruments.
- The University Secretariat, with support from the General Counsel's Office, continues to support a variety of policy projects, including collaborating with policy owners to develop policies newly mandated by the provincial government, privacy compliance policies and policies related to student conduct.
- The comprehensive review of the Policy Framework, originally scheduled for the 2022-23 year, has been delayed due to organizational changes associated with the reorganization of the University Secretariat and the General Counsel's Office. However, with new leaders of both offices now in place, the University Secretariat will proceed with the review during the 2023-24 year, noting that this may be a multi-year project. Any recommendations for enhancements will be presented to the Audit and Finance Committee for consideration.
- The tables below track support of policy instrument development to the University. Table 1 tracks policy support provided over the past five years. Table 2 identifies the unit responsible for the policy being supported over the past year.

**TABLE 1: Overall Policy Support 2018-19 to 2022-23**

Year	Drafting	Recommendations	Advice
2018-19	23	35	42
2019-20	18	54	10
2020-21	21	11	25
2021-22	18	16	25
2022-23	6	12	19

**TABLE 2: Policy Support by Unit June 1, 2021 to May 26, 2022**

Unit	Drafting	Recommendations	Advice
General Counsel	4		
University Secretary	2		
Student Life		1	
Research Services		1	5
Finance		5	
Human Resources			3
Graduate Studies			5
Registrar's Office		1	7
Teaching and Learning		2	
Provost's Office		1	5

**SUPPORTING DOCUMENTS:**

- Schedule A List of Policy Instrument approvals

## Schedule A: Policy Instrument Approvals

- Administrative Guidelines for Determining the Academic Schedule (Provost, June 27, 2022)
- Undergraduate and Professional Admissions Policy (Academic Council, June 28, 2022)
- Policy on Auditing an Undergraduate and Graduate Course (Academic Council, June 28, 2022)
- Procedures for Auditing an Undergraduate and Graduate Course (USC, May 17, 2022)
- Directives for Co-Operative Education, Internship and Practicum Development (USC, June 21, 2022)
- Use of University Automobile Driving Policy (Board, December 1, 2022)\*
- Renting Automobiles for University Business Directive (President, December 19, 2022)\*
- Electronic Monitoring Policy (President, December 23, 2022)\*
- Examination and Grading Policy (Academic Council, June 28, 2022)
- Expenses Procedures (ALT, June 16, 2022)
- Employee Phone Directive (Vice-President Administration, October 6, 2022)\*
- Graduate Submission of Thesis, Project or Major Paper Policy (Academic Council, June 28, 2022)
- Institutional Quality Assurance Process Policy (Academic Council, September 27, 2022)
- Curriculum Change Procedures (Academic Council, September 27, 2022)
- Cyclical Review and Auditing Procedures (Academic Council, September 27, 2022)
- New Program Procedures (Academic Council, September 27, 2022)
- Program Closure Procedures (Academic Council, September 27, 2022)
- Medication Administration – Nursing (FHS Faculty Council, November 2, 2022)\*
- Registration and Course Selection Policy (Academic Council, June 28, 2022)
- Expenditure Signing Authority Procedures (A&F, June 26, 2022)
- Personal Health Information Privacy Policy (Board, March 9, 2023)\*
- Personal Health Information Privacy Procedures (A&F, February 22, 2023)\*
- Rescind: International Agreements Procedure (A&F, February 22, 2023)
- Statement of Investment Policies (Board, March 9, 2023)

\*New Policy Instruments

**BOARD REPORT**

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Niall O’Halloran, Manager, Policy & Privacy

**SLT LEAD:** Sara Gottlieb, General Counsel

**SUBJECT:** Compliance - Privacy Update

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**COMMITTEE MANDATE:**

- The Audit and Finance Committee is responsible for overseeing compliance and risk management, and other internal systems and control functions at the university.
- This oversight includes receiving regular reports from management on areas of significant risk to the university including compliance and regulatory matters. Privacy is an active compliance portfolio from several perspectives: requests for access to information, advising on privacy obligations and interpretation of the legislation, and managing and investigating alleged privacy breaches.

**BACKGROUND/CONTEXT & RATIONALE:**

- The purpose of this report is to update the committee on the current status of privacy compliance activities being conducted by the Privacy Office.
- Annually, the university submits statistical reports to the Information and Privacy Commissioner concerning compliance activities under FIPPA. These reports include the number of access to information and certain details.
- This year, for the first time, the university is also reporting on compliance activities under PHIPA. This change is a result of the Board's approval of the Personal Health Information Protection Policy, designating the university as the Health Information Custodian for healthcare providers like Student Mental Health Services and Athletic Therapy.

- The table below sets out the number of FIPPA and PHIPA access to information requests, Privacy Impact Assessments (PIAs), and privacy investigations during the 2022 calendar year with a comparison to the three previous years:

**TABLE 3: Privacy Activity by year, calendar year 2019-2022**

<b>Category</b>	<b>Calendar year 2019</b>	<b>Calendar year 2020</b>	<b>Calendar year 2021</b>	<b>Calendar year 2022</b>
<b>Requests for personal information</b>	9	4	2	2
<b>Requests for general information</b>	3	3	1	7
<b>FIPPA Appeals</b>	3	0	2	6*
<b>Requests for Personal Health Information</b>	-	-	-	2
<b>Informal Requests resolved by USGC</b>	9	7	8	13
<b>3<sup>rd</sup> party notifications</b>	1	3	1	3
<b>Privacy Impact Assessments</b>	-	9	3	6^
<b>Breaches investigated</b>	16	8	12	10

\*4 closed in CY 2022

^7 ongoing

- One request for General Records was carried over for completion in the 2023 calendar year. This request has since been completed and a decision issued.
- Ontario Tech was the subject of an IPC Order, PO-4372, which upheld the university's decision on an access request from 2021. The appeal focused on the application of an exclusion pertaining to research records.
- This report was presented to the Audit & Finance Committee on June 14, 2023.



# **Governance, Nominations & Human Resources Committee (GNHR)**

## **2022-2023 Annual Report**

# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### **Board Nominations & Recruitment**

- Skills Matrix Refresh
- Appointment of Governor to Academic Council for 2022-2023
- 2023 election for Student Governor + 1 Teaching Staff Governor
- LGIC Appointments
- Board & Leadership Succession Planning
- Board Recruitment
- Board Composition for 2023-2024

### **Board Professional Development & Education**

- Ongoing Professional Development Opportunities
- New Governor Orientation

### **Human Resources/Labour Relations**

- Annual Pension Plan Report
- Collective Bargaining
- Key HR/LR Updates

# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### Governance

- Annual Board Practices Assessment & Committee Assessment
- Annual Review of Committee Terms of Reference
- Remediation of recommendations from the Auditor General's November 2022 Value for Money Audit (VFMA)
- Annual Report from the Human Rights Office
- Review of EDI Statement
- Policy Work:
  - Workplace Violence Policy Review
  - Work Refusal Procedures Review
  - Accommodating Employees and Job Applicants with Disabilities Procedures Review
  - Respectful Campus Policy and Procedures Review



# Accomplishments

## Board Recruitment & Nominations

- Skills matrix refresh\*: matrix heavily revised and distributed to governors with results shared at May GNHR
- External governor appointed to Academic Council for 2022-2023 (Carla Carmichael)
- Two new external governors (Mike Rencheck & Dwight Thompson) appointed to the Board
- Oversaw successful election in March 2023 of a Student Governor and one Teaching Staff Governor
- Board leadership established for 2023-2024
- Vice-Chairs named for two committees for 2023-2024 to assist with succession planning
- Recommendation re: Board composition\* for 2023-2024 made to Board of Governors and approved in April 2023
- LGIC appointments pursued but not yet in place due to Ministry staff turnover

\* = action that addresses a recommendation from the Auditor General's November 2022 VFMA

# Accomplishments

## Board Professional Development & Education

- Joint orientation for governors and Academic Council delivered in the fall of 2022
- Refreshed orientation curriculum for new governors delivered in February 2023\*
- Optional PD offered to governors on the following topics:
  - Session with Visiting Elder (joint with Academic Council)
  - IT and Cybersecurity
  - Faculty Research
  - Telling Our Story
  - Understanding the Financial Reporting Process\*
- Governors also given access to *Four Seasons of Reconciliation* modules and registered with the Institute of Corporate Directors

# Accomplishments

## Governance

- Annual review of committee Terms of Reference
- Engaged in strategic discussions on the following topics:
  - Council of Universities “Leading Practices in Board Governance”
  - Flex Work Strategy
  - Skills Matrix Refresh
  - Human Resources Strategic Objectives 2023-2024
- Conducted annual Board Practices Assessment & Committee Practices Assessment
- Review of EDI Statement
- Published upcoming Board/Committee meetings in the Weekly Report to enhance community engagement
- Created Executive Committee work plan which includes Presidential Succession items\*
- Created action point trackers to enhance transparency and accountability

# Accomplishments

## Policy Work

Successfully oversaw the following:

- Workplace Violence Policy review
- Work Refusal Procedures review
- Accommodating Employees and Job Applicants with Disabilities Procedures review
- Respectful Campus Policy and Procedures review

## Human Resources/Labour Relations

- Oversight of university's labour relations & human resources
- Strategic Discussion: Flex Work Strategy
- Implications of Bill 124 revocation
- Approval of bargaining mandates
- Reviewed executive compensation and the *Broader Public Sector Executive Compensation Act, 2014*

# In Progress

## **Nominations**

- Continued pursuit of LGIC appointees

## **Board Professional Development & Education**

- Continuing to build out resources library in OnBoard

# Future Planning

## **Board Composition & Succession**

- Monitoring governor development and potential for leadership in 2024-2025 as Chair and both Vice-Chairs' terms will end in June 2024
- Prioritizing succession planning for GNHR

## **Board Professional Development & Education**

- Explore recording educational modules to allow for governors to self-serve PD

## BOARD REPORT

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Lauren Turner, University Secretary

**SUBJECT:** Equity, Diversity and Inclusion (EDI) Statement – Annual Review

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**COMMITTEE MANDATE:**

- The Governance, Nominations and Human Resources Committee (GNHR) has the broad mandate encompassing governance structures and processes, nomination and elections and human resources strategies. GNHR will also consider such matters as are assigned to it by the Board of Governors.

**BACKGROUND/CONTEXT & RATIONALE:**

- In February 2021, the Board of Governors tasked GNHR with serving as the engine to generate an EDI statement for the Board of Governors.
- Over the course of 13 months, GNHR led efforts to develop an EDI statement in consultation with the Board of Governors and with regard to practices at other higher education institutions.
- The EDI statement was approved on March 10, 2022 by the Board of Governors and is attached as Appendix A.
- The EDI statement expressly states that the Board's EDI journey will be one of evolution. The statement was presented to GNHR for review, discussion and amendment if so desired by the Committee; no amendments were made at this time.

## Appendix A – EDI Statement

### **Commitment to EDI:**

The Ontario Tech University Board of Governors acknowledges and is grateful for the friendship of the people of the Mississaugas of Scugog Island First Nation on whose traditional lands the university's campus is located. The Board is committed to equity, diversity, and inclusion (EDI) and to removing barriers for the groups most likely to experience them, including: Indigenous persons; persons with a disability; Lesbian, Gay, Bisexual, Trans, Queer, 2-spirit, Non-Binary (LGBTQ2+) persons; racialized persons; women; and other equity deserving groups. This includes a commitment to advancing reconciliation and fostering relationships with Indigenous communities.

### **The Board's Role:**

The Board will support and foster the advancement of EDI programs and initiatives at the University and is committed to incorporating EDI in its decision-making and recruitment practices.

### **University Culture:**

The Board commits to fostering an inclusive culture at Ontario Tech University. The Board believes EDI is at the heart of the university's mission of *technology with a conscience*, and engages regularly with university leadership on the progress against Ontario Tech's EDI strategy.

### **Board Decision-Making:**

The Board commits to incorporating EDI in the performance of its duties and its decision-making processes to ensure the Board is reviewing matters through an EDI lens.

### **Board Recruitment:**

The Board will pursue recruitment strategies that enable it to broaden the EDI of the Board when recruiting governors.

### **Board Composition:**

The Board is committed to incorporating EDI in its governor appointments and to ensuring that Board members reflect the communities the university serves.

### **Board Education:**

The Board approaches its role in advancing EDI as a journey that requires regular engagement with the university community and an open mindedness to continually seek out new knowledge and perspectives. The Board is committed to providing continuous learning for governors to ensure its policies reflect best practices for diverse recruitment. The Board will incorporate EDI learning in its professional development programming for governors.

As the Board's EDI journey evolves, so too will this statement. The Board will regularly review and update these commitments to ensure they reflect the Board's increased knowledge and improved understanding of EDI best practices. The Board also commits to assessing the progress being made in advancing these commitments.



## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Jamie Bruno, VP, People and Transformation

**SUBJECT:** 2022 DCP Pension Governance Compliance Report

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**COMMITTEE MANDATE:**

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

The report was presented to GNHR on May 25, 2023.

**BACKGROUND/CONTEXT & RATIONALE:**

Ontario Tech University is the sole sponsor of the university's pension plan. The pension plan is a member-investment directed defined contribution pension plan (DCPP) registered with the Financial Services Regulatory Services and the Canada Revenue Agency, and governed by the *Pension Benefits Act (Ontario)* and the *Income Tax Act, Canada*, respectively.

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

- Vice-President, People and Transformation
- Vice-President, Administration
- General Counsel

The SASC is also responsible for reporting to GNHR and certifying that all aspects of the *University of Ontario Institute of Technology Pension Plan Governance Structure and Pension Plan Processes* have been met.

With respect to the year January 1 – December 31, 2022, SASC certifies that the responsibilities and processes set out in the accompanying report have been fulfilled and completed, unless indicated in yellow

**SUPPORTING REFERENCE MATERIALS:**

2022 Annual Pension Plan Governance Report



**THE UNIVERSITY OF ONTARIO INSTITUTE OF TECHNOLOGY DEFINED CONTRIBUTION  
PENSION PLAN  
GOVERNANCE COMPLIANCE CERTIFICATE**

The University of Ontario Institute of Technology (operating as Ontario Tech University) sponsors the University of Ontario Institute of Technology Pension Plan, Registration No. 1087808 (the “Plan”). The Plan is a member-investment directed defined contribution pension plan registered with the Financial Service Regulatory Authority Ontario and the Canada Revenue Agency governed by the Pension Benefits Act (Ontario) (the “PBA”) and the Income Tax Act (“ITA”), Canada, respectively.

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

The SASC’s responsibilities are carried out by three members of senior management, the VP, People and Transformation, the VP, Administration and the General Counsel. The main responsibility for the Plan and Fund lies with the President and the Pension & Benefits Staff which report to him/her.

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

With respect to the Year January 1, 2022 to December 31, 2022 the SASC hereby certifies that the responsibilities and processes listed in the accompanying ten (10) Pension Governance Checklists have been fulfilled and completed unless indicated in yellow.

**Jamie Bruno**

Digitally signed by Jamie Bruno  
DN: cn=Jamie Bruno, o=Ontario Tech  
University, ou=Human Resources,  
email=jamie.bruno@ontariotechu.ca, c=CA  
Date: 2023.05.02 07:46:05 -04'00'

**Jamie Bruno,  
VP, People and Transformation**

DATED the 2 day of May, 2023.

**Brad MacIsaac**

Digitally signed by Brad MacIsaac  
Date: 2023.05.02 07:49:35 -04'00'

**Brad MacIsaac, VP Administration**

DATED the 2 day of May, 2023.

**Sara Gottlieb**

Digitally signed by Sara Gottlieb  
DN: cn=Sara Gottlieb, o=Ontario Tech University, ou=General  
Counsel, email=sara.gottlieb@ontariotechu.ca, c=CA  
Date: 2023.05.02 08:08:24 -04'00'

**Sara Gottlieb,  
General Counsel**

DATED the 2 day of May, 2023

## BOARD OF GOVERNORS

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

### Board of Governors Checklist January 1, 2022 to December 31, 2022

No.	Item	Completion Date <sup>1</sup>	Action Required/ Taken/Comments
1.	Establishes and updates the governance system for the Plan on the recommendation of the Governance, Nominations & Human Resources Committee	November 2013	As required
2.	Approves design changes to the Plan <sup>1</sup> on the recommendation of the Governance, Nominations & Human Resources	2022/23	
3.	Appoints the Plan auditor	2021 N/A	None
4.	Receives annual report from the Governance, Nominations & Human Resources Committee	March	At least annually
5.	Receives and considers reports from the Audit Committee	November	
6.	May receive submissions directly from the Pension & Benefits Committee	2021 N/A	None

Green-completed

Yellow-in progress

Red-outstanding

## GOVERNANCE, NOMINATIONS & HUMAN RESOURCES COMMITTEE

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

### Governance, Nominations & Human Resources Committee Checklist

**January 1, 2022 to December 31, 2022**

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives and considers reports from SLT/SASC on matters relating to the administration and governance of the Plan and Fund	January 2022	At least annually Pension Financial Statements; Pension Audit results & #2 below SIPP
2.	Receives and considers reports from SLT*/SASC on investment options offered under the Plan	2021 - N/A	None
3.	Receives and considers reports from the SLT/SASC on employer-related matters, including the operational budget for the Plan	May 2022	Terms of Reference approved
4.	May receive submissions directly from the Pension & Benefits Committee	None	
5.	Considers Plan design changes and makes recommendations to the Board.	2023	Pension Plan Text will be updated to include previous amendments
6.	Ensures that the appropriate reporting on pension-related matters is made to the Board.	January 2022	
7.	Make changes to the Accountability Tool	2021 N/A	

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

## AUDIT & FINANCE COMMITTEE

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

### Audit Board of Governors Checklist

January 1, 2022 to December 31, 2022

<b>&amp; Finance Committee No.</b>	<b>Item</b>	<b>Completion Date</b>	<b>Action Required/ Taken/Comments</b>
1.	Performs risk management functions in relation to the Plan and Fund as part of its ERM responsibilities	November	In accordance with the Committee's normal practices
2.	Oversees pension audit as part of the audit of University of Ontario Institute of Technology (Ontario Tech University) pension plan	N/A	Moved to tri-annually
3.	Receives reports from SLT/SASC/VP, Administration on audit and risk management matters	November	Done
4.	Reports to the Board on risk management and audit issues	November	None reported in Pension Audit

Green-completed

Yellow-in progress

Red-outstanding

## SENIOR LEADERSHIP TEAM (SLT)

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

### SLT Checklist

**January 1, 2022 to December 31, 2022**

No.	Item	Completion Date	Action Required/ Taken/Comments
1.	Receives reports from SASC	Ongoing	SLT meetings held weekly updates provided as required
2.	Considers Plan design changes and makes recommendations to the Governance, Nominations & Human Resources Committee	No plan design changes	Amendments to the Plan Text –none
3.	Ensures that appropriate reporting is made to the Governance, Nominations & Human Resources Committee	Ongoing	SLT meetings held weekly updates provided as required
4.	May receive submissions directly from the Pension & Benefits Committee	2021 N/A	None

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

## Senior Administration Sub-Committee (SASC)

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

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

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

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

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

### SASC Checklist January 1, 2022 to December 31, 2022

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Reviewing and approving the completed checklists/reports of P&B Staff	VPPT	May 2023	SASC approved and forwarded to GNHR.
2.	Approving and executing Plan amendments and signing any related regulatory filings.	VPPT/GC <sup>1</sup> or delegate	2022-N/A	
3.	Approving and signing all annual regulatory filings	VPPT /GC <sup>1</sup> or delegate	December  August  December	Annual Information Return (AIR) – reviewed & filed with FSRA  Form 7- Contribution Summary-reviewed and filed with Sun Life (custodian)  Financial Statements filed with FSRA



No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
4.	Approves, reviews and amends SIPP	VPPT/ GC, CFO <sup>2</sup>	2022-N/A	No amendments required
5.	Selecting third party service providers and negotiating and executing contracts.	VPPT /VP, Administration	2022-N/A	None
6.	Liaising with the Audit Committee in connection with the Plan audit; reviewing, approving and signing financial statements.	VP, Administration/VPPT	December	Approved & signed
7.	(a) Chairing the Pension & Benefits Committee and preparing the agenda  (b) Attending the Pension & Benefits Committee	VPPT (or delegate)  VP, Administration (or delegate)	April, September & November  March & October	Preparation of Agenda Approval of Minutes  Year End & Semi-Annual Pension Investment Performance meeting and discussions.
8.	Receiving and reviewing reports from P&B Staff regarding the performance of third party service providers	VPPT or delegate	March & October  March 2022	Mercer Canada Investment Reports  Sun Life
9.	Establishing service standards/benchmarks based on recommendations from P & B Staff	VPPT or delegate	March & October	Meetings with SASC as required. Mercer provides investment benchmarks and conducts annual and semi-annual investment performance analysis.

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
10.	Receiving and reviewing reports from P&B Staff regarding investment performance (and or having in-person meetings with provider(s) and consultants)	VPPT or delegate	March & October	Quarterly Rates of Return/Pension statements provided to all pension plan members with economic outlooks in written & video format. Investment performance posted to HR Pension website and available on Plan member website at SLF. Bi-annual meetings with Mercer (Pension Investment consultant) and subsequent attendance at P & B Committee
11.	Receiving and reviewing member communication and education initiatives	VPPT or delegate	May and November  May and November  Ongoing  July	Your Health and Wealth Webinars & Where there is a Will series (Sun Life)  Individual Consultation Sessions  <a href="#">HR Pension Website Resources</a>  ESG changes to Target Date Funds
12.	Reviewing and approving the annual expense budget	VPPT/GC	April	In accordance with normal practice

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
13.	Considering and approving P&B Staff's recommendations with respect to Plan design changes; initiating recommendations with respect to Plan design changes as required.	VPPT/VP, Administration	2022 - N/A	
14.	Considering and approving P&B Staff's recommendations with respect to development of new policies and changes to existing policies; initiating policy development as required.	VPPT, GC, VP, Administration	2022 - N/A	
15.	Dealing with material regulatory issues.	VPPT/GC	2022 - N/A	None
16.	Working with the Audit Committee to address risk management issues	VPPT/GC <sup>1</sup>	2021 N/A	None
17.	Overseeing governance review using Canadian Association of Pension Supervisor Authorities (CAPSA) governance tool	VP, Administration/ VPPT <sup>4</sup>	Ongoing and annual review  April	SASC meetings  SASC Compliance Certification
18.	Preparing and delivering report(s) to the  a) SLT  b) Governance, Nominations & Human Resources Committee	GC/ VPPT <sup>4</sup>	Ongoing Meetings with P & B Staff  April, September & November  a) Weekly	Updates provided by P & B Staff to VPPT and SASC  SASC Committee Meeting  Reporting as required  Pension Financial Statements & Pension Audit Report

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
	c) Audit Committee		c)December	Pension Financial Statements
	d) Board		d) December	Pension Financial Statements
19.	Ensuring that the Accountability Tool is completed on an annual basis and maintaining a record of the completed Checklists	VPPT/GC/VP, Administration	May 2022	SASC annual review and compliance certification to the Board

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

1. GC plays an advisory role on an as needs basis.
2. GC and VP, Administration play an advisory role on an as needed basis.
3. VPPT plays an advisory role on an as needs basis
4. VPPT plays an advisory role on an as needs basis

## Pension & Benefits (P & B) Committee

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

The mandate of the P&B Committee includes oversight with respect to the administration, communication and investment management of the Plan. This includes the ability to make recommendations to SASC to amend and interpret the provisions of the Plan as well as to make recommendations to SASC with respect to the specific matters identified in the P&B Committee Terms of Reference.

### P&B Committee Checklist

January 1, 2022 to December 31, 2022

No.	Item	Party Responsible	Completion Date	Action Required/ Taken/Comments
1.	Developing Agenda	VPPT /VP, Administration	March & October	Review of previous minutes and bringing forward any actions completed and provide updates
2.	Transmitting Notice and Agenda	VPPT /VP, Administration	March & October	Agenda and any accompanying materials reviewed prior to P & B committee meeting
3.	P&B Committee Meeting	VPPT /VP, Administration	March & October	Done
4.	Distributing Minutes	Secretary	March & October	Done
5.	Completing Action Items from P&B Committee Meeting	VPPT (or delegate)	May 2023	Provide Mercer's Reports to new members. Review Environment, Social and Governance (ESG) impacts to target date funds. ESG information to be shared in upcoming Sun Life webinar.
6.	Maintaining minutes of meetings	Secretary	March & October	Done

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

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

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

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

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

### **P & B STAFF ADMINISTRATIVE CHECKLIST**

**January 1, 2022 to December 31, 2022**

<b>No.</b>	<b>Item</b>	<b>Prepared By</b>	<b>Completion Date</b>	<b>Action Required/ Taken/Comments</b>
1.	Certified copies of all documents that create and support Plan amendments made during the year	Pension & Benefits Staff	May 2022	Amendment for Faculty Association Employee Contributions increased July 1, 2022

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
2.	Information with respect to the remittance of employer contributions to the custodian or reallocation of assets within the Fund.	Payroll and verified by HR P & B Staff	<p><b>Full time -2022</b> January to December Monthly</p> <p><b>Less than Full time or Limited Term-2022</b> January to December Bi-Weekly</p>	<p>Each pay cycle monthly or bi-weekly, as the case may be, payroll deductions are processed by payroll and verified by P &amp; B Staff</p> <p>Cumulative amounts are monitored to ensure CRA limits do not exceed the maximum permitted under the Income Tax Act 2022 maximum \$29,210</p>
3.	Reports and returns filed with the Financial Services Regulatory Authority of Ontario and Canada Revenue Agency (“CRA”).		<p><b>December</b></p> <p><b>August</b></p> <p><b>Tri-annually 2023</b></p>	<p>Annual Information Return – filed with FSRA</p> <p>Form 7- Contribution Summary Form reported &amp; filed to Sun Life (SLF)</p> <p>Audited Financial Statements filed with FSRA</p>
4.	Summaries of Pension Adjustments (“PAs”).	Payroll	<b>January 2022</b>	2022 Pension Adjustments year-end checked no issues as confirmed by payroll & SLF
5.	Summaries of Pension Adjustment Reversals (“PARs”)	N/A	N/A	Applicable to defined benefits plan only. N/A for the University’s defined contribution plan.
6.	Annual Information Return	Pension & Benefits Staff	<b>December</b>	Done
7.	Form 7, Summary of Contributions/Revised Summary of Contributions	Pension & Benefits Staff	<b>August</b>	Done
8.	Financial Statements	KPMG and Ontario Tech University	<b>December</b>	Done
9.	Copy of SIPP as either confirmed or amended by VPPT	Mercer Investment Consulting Firm	N/A	No longer required





No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
13.	Information with respect to the enrolment of new members	Ontario Tech University & Sun Life	<p>1<sup>st</sup> day of hire for full time continuing employees (FTE) or;</p> <p>Less than full time or limited term employees (LTEs) when criteria attained</p> <p>Meeting with each eligible pension plan member for enrolment and information session</p>	<p>All FTEs eligible to join on the date of hire (mandatory)</p> <p>Eligibility (voluntary) for less than full time or LTEs employees 24 months of consecutive employment with the University having attained either:</p> <p>a) 700 hours in each of the 2 years or;</p> <p>b) 35% YMPE in each of the previous 2 years*</p> <p>Prior to or on date of hire for FTEs. For LTEs upon meeting eligibility criteria.</p>
14.	Information with respect to the termination and death benefit payments made from the Fund.	Ontario Tech University and Sun Life	<p>Terminations as occurring</p> <p>2022 deaths -2</p>	Termination reports received monthly & Plan member statement issued annually and targeted communications to reiterate termination options available.
15.	Information with respect to marriage breakdowns	Sun Life	Ongoing	1 case submitted to SLF
16.	Information with respect to numbers of member and active members	Sun Life	Monthly & at Plan Year (June 30)	Reports available at Sun Life Plan Sponsor website to access current statistics. Plan Year End reports provided directly by SLF for AIR, Form 7, Audit & Financial Statements.

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
17.	Information with respect to the annual statements provided to members, including sample statements.	Ontario Tech University & Sun Life	Ongoing	SLF –quarterly pension statements online at SLF member website. Annual mailing to home address.
18.	Information with respect to the written explanations provided to the members about the Plan provisions and the members’ rights and obligations with respect to the Plan.	Ontario Tech University and Sun Life	<p>DCPP Member booklet updated April</p> <p>July</p> <p>Ongoing</p> <p>Ongoing -Less than full time or limited term employees’ pension personal sign up virtual meeting date of eligibility</p>	<p><u>DCPP Member Booklet &amp; Retirement Income Options</u></p> <p><u>Pension &amp; Benefits at a Glance</u> ; Non-Union Faculty; Staff –Non-Union; FA; OPSEU &amp; Executive</p> <p>My Money Investment Guide, Sun Life on line retirement and financial literacy tools (risk assessment) and <u>University pension plan website</u></p> <p>Full time continuing Pension and Benefits Personal Sign Up virtual zoom meetings (prior to date of hire)</p> <p>Less than full time or limited term employees’ pension personal sign up virtual meeting date of eligibility</p> <p>Optional membership in the University’s pension plan as per Ontario pension legislation.</p>

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
19.	Information with respect to the educational or other information provided to Plan members about the Plan and financial planning for retirement. <i>(continued on next page)</i>	Ontario Tech University and Sun Life	<p>January</p> <p>May</p> <p>Ongoing monthly</p> <p>November</p> <p>Ongoing</p>	<p>2022 Financial Wellness Webinars - monthly</p> <p>2022 Spring Pension Assessing retirement readiness Webinar</p> <p>One on one sessions with Sun Life representative</p> <p>Targeted communication to members with GIC &amp; GDIA amounts nearing \$100k, for enrolment in SLF Trust to afford protection against unlikely event of SLF default.</p> <p>2022 Fall-Webinar – Virtual Presentations Wills</p> <p>One on one sessions with Sun Life representative</p> <p>Sun Life Max Review e-mail Financial Wellness campaign to all members to review pension portfolios (Financial Literacy Month)</p> <p>Quarterly investment Performance reports, economic outlooks video &amp; print</p>
20.	Information with respect to any regulatory or other administrative issues that arose during the year.		N/A	None

No.	Item	Prepared By	Completion Date	Action Required/ Taken/Comments
21.	Information with respect to member complaints	Sun Life	None	
22.	Reports on retention of new service providers/copy of completed third party evaluations		None	
23.	Copies of any legal opinions obtained during the year.		N/A	None
24.	Copy of completed regulatory compliance checklist	Ontario Tech University	May	Pending approval
25.	Report on the results of the reviews of and/or amendments to any Key Plan Documents	Ontario Tech University & Mercer	Ongoing	As required no pension plan text amendments

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

- 2021 YMPE \$61,600/\$21,560
- 2022 YMPE \$64,900/\$22,715
- 

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

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

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

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

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

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

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

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<b>(b) Reporting Requirements</b>				
<input type="checkbox"/> File an annual information return.	PBA s.20(1) Reg. 18(1), (6), (7) Reg. 37 ITA Reg. 8409(1), (2)	9 months after the plan's fiscal year end.  <b>December</b>	P & B Staff	Done -filed with FSRA
<input type="checkbox"/> File financial statements (including auditors' report where plan assets exceed \$3 million)	Reg. 76	N/A	Finance and P & B Staff	As per Mercer's recommendation, moved to tri-annually.
<input type="checkbox"/> Review SIPP and amend/confirm annually.	Reg. 79 FIR, s.7.2(1)	N/A	SASC, P & B Staff in consultation with Mercer Investments	As per Mercer's recommendation, no longer required.
<b>(c) Disclosure to Members</b>				
<input type="checkbox"/> Explain plan provisions to employees who will become eligible to join the plan.	PBA s. 25(2)(b) Reg. 38	At least 60 days before employees become eligible.  Date of Hire or date employee meets with part-time pension eligibility criteria	Payroll and P& B Staff	Full time continuing Pension and Benefits Sign Up meeting (prior to date of hire)  Less than full time or limited term employees' pension sign up once eligibility criteria met and if member elects to join

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<input type="checkbox"/> Explain Plan provisions to persons who become eligible for plan membership upon becoming employed.	PBA s. 25(2)(c) Reg. 38	Within 60 days after employees, commence employment.  Every eligible employee meets with P & B Staff for sign up  Pension and Benefits Sign up meetings prior to date of hire for full time continuing employees.  For less than full time employees - on or near the date in which the employee has met the required criteria to join the pension plan	P & B Staff	Eligibility for less than full time or Limited Term –Optional membership  Employees 24 months of consecutive employment with the University having attained either:  a) 700 hours in each of the 2 years or;  b) 35% YMPE in each of the previous 2 years*
<input type="checkbox"/> Provide notice and explanation of non-adverse amendments to affected members.	PBA s. 26(3) Reg. 39(1)	Within 60 days after provincial registration.	N/A	None
<input type="checkbox"/> Provide notice and explanation of adverse amendments to affected members if Superintendent requires.	PBA s.26(1), (2) Reg. 3(3), (4)	At least 45 days prior to registration of the amendment.	N/A	None
<input type="checkbox"/> Provide annual statement of benefits as prescribed.	PBA s.27 Reg. 40(1), (2)	6 months after the plan's fiscal year end.	Sun Life	Quarterly Pension Statements on line at <a href="http://mysunlife.ca">mysunlife.ca</a>  Pension Statements mailed annually to home address in January following year end



**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<input type="checkbox"/> Make documents that create and support the pension plan and other prescribed information available for inspection by members and others as entitled.	PBA s. 29, 30 Reg. 45	Within 30 days after receipt of written request.	P & B Staff	None
<input type="checkbox"/> Provide termination statement containing prescribed information for termination of employment in situations other than retirement or death.	PBA s. 28 Reg. 41(1), (2), 42	Within 30 days after termination of employment or, where notice of termination is not provided to the administrator prior to the event, within 30 days after receipt of such notice.	Sun Life	Termination statements are issued in 2 weeks from date of departure from the University
<input type="checkbox"/> Where a plan member who is not entitled to a pension or deferred pension terminates employment in situations other than retirement or death, the administrator must pay any refund to which the member is entitled.	Reg. 42(3), (4)  42. revoked: O. Reg. 178/12, s. 40	Within 60 days after termination or, where a member has an option for receiving a refund, within 60 days after receipt of a direction from the member.	Sun Life	Payments made within 30 days upon receipt of member's election to transfer assets out of the Ontario Tech DCP.

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<input type="checkbox"/> Provide retirement statement and options for payment of pension.	PBA s.28 Reg. 44	<p>At least 60 days prior to the member's normal retirement date or the date at which the member has indicated he or she intends to retire.</p> <p>If the administrator does not receive adequate notice of the intended retirement to comply with the 60 day time requirement, the administrator shall provide the required information within 30 days following receipt by the administrator of a completed application for commencement of the pension.</p>	<p>Sun Life</p> <p>N/A</p>	<p>Sun Life transfers the value of the member's pension account in accordance with the member's election within 30 days of the receipt of the member's direction to transfer to a retirement income option.</p> <p>Commencement of pension not directly paid from UOIT DCPN N/A</p> <p>Member direction required to SLF to transfer assets out of the Plan</p>
<input type="checkbox"/> Provide statement of benefits payable upon death to spouse, beneficiary or estate.	PBA s.28 Reg. 43(1)	Within 30 days after receipt of notice of death of member or former member.	Sun Life	None
<input type="checkbox"/> Comply with surviving spouse's election regarding pre-retirement benefits.	Reg. 43(3)	Within 60 days after receiving direction from spouse or same-sex partner.	Sun Life	None

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<input type="checkbox"/> In cases of marital breakdown, calculate the value of the pension, as requested by the member and/or spouse using Superintendent of Financial Services approved forms throughout the process.	PBA s. 67.1 – 67.6 Ont. Reg. 287/11 (Family Matters)	Within 60 days of receiving a completed application	Sun Life	None
<b>(d) Miscellaneous</b>				
<input type="checkbox"/> If benefit transfer request made within 60 days of termination of employment, pay in accordance with request. Must ensure that transfers to retirement savings arrangements or deferred life annuities will be administered as pensions or deferred pensions.	PBA s.42(1), (5), (6), (7) Reg. 20	Within 60 days after request.	Sun Life	Processed upon receipt of completed termination option statement received from members by Sun Life.
<input type="checkbox"/> Ensure all contributions are paid when due.	PBA s.56(1) Reg. 4(4) Reg. 5(1)	Employer contributions in respect of normal costs: within 30 days after the month for which contributions are payable.	Payroll, P & B Staff	Contributions are invested by pay date.  Contributions received before 2p.m. invested same day after 2p.m. next day
<input type="checkbox"/> Report to Superintendent if contributions are not made when they become due.	PBA s.56(2) Reg. 6.1	Within 60 days after the day on which the contribution was due.	Sun Life	None reported
<input type="checkbox"/> Provide pension fund trustee with a summary of contributions required to be made.	PBA s.56.1(1) Reg. 6.2(1)	Within 90 days after the pension plan is established for the first fiscal year and within 60 days after the beginning of each subsequent fiscal year.	N/A	Applicable when a contribution is <u>not</u> remitted  No delays to report
<input type="checkbox"/> Provide pension fund trustee with a revised summary of contributions required to be made.	Reg. 6.2(2)	Within 60 days after becoming aware of a change in contributions.	N/A	Applicable when contribution is <u>not</u> remitted  No delays

**P&B STAFF REGULATORY COMPLIANCE CHECKLIST**  
**January 1, 2022 to December 31, 2022**

	<b>Legislation</b>	<b>Time Limit (if any)</b>	<b>Person Responsible</b>	<b>Comments</b>
<input type="checkbox"/> Pension Adjustments must be reported to CRA in the appropriate manner.	ITA Reg. 8401	On or before the last day of February of the year following the end of the calendar year.	Payroll	Reported by payroll on the T4 prior to Federal tax deadline of each year
<input type="checkbox"/> Pension Adjustment Reversals must be reported to CRA.	ITA Reg. 8402.01	When the Termination occurs in the 1 <sup>st</sup> , 2 <sup>nd</sup> , 3 <sup>rd</sup> quarter of the calendar year, within 60 days after the last day of the quarter in which the termination occurs. When the termination occurs in the 4 <sup>th</sup> quarter, before February 1 of the following calendar year.	N/A	This applies to DB plans only and not the University's defined contribution pension plan.  No action required
<input type="checkbox"/> Where there is a change in the name or address of person who is administrator or persons who constitute the body that is the administrator, inform the Minister of National Revenue in writing within 60 days after the change.	ITA 147.1(7)(c)		N/A	

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

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

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

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

**January 1, 2022 to December 31, 2022**

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/ Taken/Comments
1.	Plan text		2023	SASC & P & B Staff	Updating Plan Text to include amendments
2.	Custodial Agreement (under Group Annuity Contract)	November 2017	2022	N/A	RFP conducted Sun Life appointed Effective April 1, 2018
3.	Record-keeping Agreement (Sun Life Service Fee Agreement)	November 2017	2022	VPPT	RFP conducted Sun Life appointed Effective April 1, 2018
4.	Insurance Policy Sun Life Group Annuity Contract	November 2017	2022	VPPT	RFP conducted Sun Life appointed Effective April 1, 2018
5.	Statement of Investment Policies and Procedures	September 2020	As required	SASC P & B Staff	
6.	Investment Consulting Agreement	December 2020	2025	VPPT	Mercer Canada appointed effective January 1, 2021
7.	Governance Documentation (including Board resolution approving UOIT Pension Plan Governance Structure and Functions Chart and Accountability Tool)	January 2017	TBD	SASC	SASC annual certification, review and approval of Governance Documentation

\*Key documents is retained in Human Resources by P & B Staff

Green-completed  
Yellow-in progress  
Red-outstanding

No.	Document	Last Review Date	Next Scheduled Review Date, if any	Review Completed By	Action Required/Taken/Comments
8.	Employee Booklet	Completion date for revisions April 2022	N/A	VPPT and P & B Staff	
9.	Service Provider Benchmarks	November 2017	Pension & Benefits Provider 2024 Pension Investment Consultant 2024	SASC	

## P&B STAFF: THIRD PARTY SERVICE REVIEW

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

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

### P&B STAFF: THIRD PARTY SERVICE REVIEW January 1, 2022 to December 31, 2022

No.	Item	Reviewed by	Completion Date	Action Required/ Taken/Comments
1.	Performance Review of Trustee/ Custodian	Mercer	November 2017 Effective April 1, 2018	Market Review Sun Life Next review 2023
2.	Performance Review of Investment Manager, i.e., provider of investment platform for the Plan	P & B advisory committee VPPT	September 2017 Effective April 1, 2018	Market Review Sun Life Next review 2023
3.	Performance Review of Record-Keeper	P & B advisory committee VPPT	September 2017 Effective April 1, 2018	Market Review Sun Life Next review 2023
4.	Performance Review of Investment Consultant	VP, Administration, VPPT, P & B Staff	December 2020 Effective January 1, 2021	Effective January 2021 Contract awarded to Mercer –next review 2025
5.	Performance Review of External Legal Counsel	N/A	N/A	None required
6.	Performance Review of External Auditor	N/A	N/A	None required

**Green**-completed

**Yellow**-in progress

**Red**-outstanding

# Strategy & Planning Committee (S&P)

## 2022-2023 Annual Report



# 2022-2023 Work Plan

## MANDATE-DRIVEN PRIORITIES

### Strategic & Planning Oversight

- Integrated Academic Research Plan
- Strategic priorities
- Student success
- International strategy
- Research strategy
- Standard & strategic indicators
- Academic programming
- Board Retreat planning

### Advancement

- Matching Fund; New Campaign
- Endowment disbursement
- Campaign oversight
- Alumni engagement strategy

### Major Projects Oversight

- Campus Master Plan
- Capital Project Tracking
- Subcritical Nuclear Assembly

# Accomplishments

## STRATEGIC OVERSIGHT

- Annual review Committee Terms of Reference and Work Plan
- Oversight of University's strategic planning metrics
- Oversight of student-centric initiatives, including discussions on the following:
  - Enrolment
  - Recruitment
  - Student success
  - Academic programs
  - International strategy
- Oversight of Board of Governors Retreat
  - Retreat scheduled for May 11, 2023
  - Retreat outcomes to be reported to June Board of Governors

# Accomplishments

## PLANNING OVERSIGHT

- Oversight of progress on the Integrated Academic Research Plan, including establishing targets for metrics
- Recommended disbursement of up to \$750,000 from the Endowment Funds to be distributed as awards in 2023-24

## PROJECT OVERSIGHT

- Ongoing efforts to advance the Campus Master Plan
- Capital Project Tracking Sheets
- Subcritical Nuclear Assembly

## ADVANCEMENT

- Oversight of wind-down of Matching Fund and planning for new Advancement campaign
- Worked with Advancement to identify and open doors to major gift prospects

# In Progress

## Strategy & Planning

- Continued oversight of the Integrated Academic Research Plan

## Major Projects

- Continued oversight of Campus Master Plan

## Advancement

- Continued oversight of new campaign
- Continue to develop major gift prospects

# Future Planning

## Planning Oversight

- Integrated Academic Research Plan 2023-2028
- Oversight of Integrated Academic Research Plan – performance against targets

## 2024 Board Retreat

**BOARD REPORT**

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

Financial Impact  Yes  No      Included in Budget  Yes  No

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Brad Maclsaac, VP Administration

**SUBJECT:** Digital Strategy

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**BOARD/COMMITTEE MANDATE:**

The Board of Governors is responsible for overseeing the strategic planning for all aspects of the university and assessment of the plans in the context of the university’s vision, mission and values. More specifically, the Strategy and Planning (S&P) Committee will make recommendations on the implementation plans.

This board report and associated presentation were provided to inform the committee of the current information technology desired outcomes, risks, and the actions being undertaken to enhance the university’s position. The intent of this presentation provided to S&P at its meeting of May 11, is to provide an overview of the information technology landscape and continue to engage in a discussion on our strategies.

**BACKGROUND/CONTEXT & RATIONALE:**

In March 2022 management presented a discussion paper titled “Reimagining Information Technology at Ontario Tech” to Strategy and Planning which is attached for information only, as many changes have taken place over the past year. The paper was based on a number of consultations with university members of current assets and enhanced a planning framework to outline roadmaps for the institution’s IT needs in the short, medium, and long term with an eye on optimizing the value of all IT systems. This enabling plan stemmed from Ontario Tech’s commitment in its [Integrated Academic-Research Plan 2021-2023](#) to **Learning Re-imagined:** co-creating knowledge by adapting to the ever-changing educational landscape through the provision of flexible and dynamic learning and research opportunities. This will be innovative, inclusive, and collaborative by leveraging the best of technology and pedagogy for the benefit of students, partners and the whole world.

Over the past year a focus was placed on how to better create and disseminate the four-year plan. To orchestrate our IT initiatives in a holistic and systematic manner, it is essential to have a plan in place. Under the shared services construct with Durham College, this is even more important. While the university and college have had a process in place since inception the Integrated Academic-Research Plan provides an opportunity to enhance longer term planning. It also acts as a spring board to more transparent and consultative discussions on the IT plan. In a time of financial strain, it is crucial for universities to make the best use of available resources.

The attached discussion paper refers to “we”. It is important to repeat that “we” means the entire university community. IT Services is the body that will collate the ideas, track the plans and help deliver on the actions. IT Services will work collaboratively with all stakeholders on campus (faculty, staff and students) realizing that sometimes there will be competing demands where choices will need to be made. The decisions will be guided by the Integrated Academic-Research Plan and will be update not only once the new plan is released but annually as we try to stay ahead of the curve in an ever-changing world.

The key IT projects for the upcoming year place a strong emphasis on boosting both the student and staff experience. Firstly, we will continue the collaborative efforts with our stakeholders to enhance the university’s business processes using workflows, automations, and new system implementations. These projects will not only improve efficiency and reduce the administrative burden, but they will also free up resources to to invest in and improve the student experience. Secondly, we will focus on providing a student-centric user experience with convenient access to information and services. Investing in products such as the Ellucian Intelligent Learning Platform will grant students instant access to their courses in the Learning Management System. Lastly, we will proceed with investigations to increase movement to the cloud and will continue to invest in security projects to ensure the safety and privacy of our student and staff data. Overall, these projects represent our commitment to embracing digital innovation and using technology to achieve our strategic goals and provide a high-quality service to our students and stakeholders.

#### **RESOURCES REQUIRED:**

The paper outlines a plan for net new spend of over \$3 million a year while the current IT capital budget is normally closer to half this. The roadmaps help us work with units to prioritize new funds, examine methods to reallocate funds, and most importantly opens conversations on what is already occurring in areas based on the hard work and innovation of our employees at no to low costs.

#### **CONSULTATION:**

It is extremely important to note that this paper has been developed based on years of different discussions with numerous groups. Whether it was during Integrated Planning meetings; or new building discussions; or operational brainstorming sessions with faculties; or focus groups with students; we are tracking what desired outcomes members are looking for. With this we look for IT solutions.

More specifically the initial draft paper started with a few groups to ensure general direction was accepted and we were capturing the right level of details to share:

- Summer 2021 initial conversation with unit leads
- Mid fall 2021 a focus group including university faculty members and our [Teaching Scholars in Residence](#).
- Mid Fall 2021 a focus group including support unit representatives from Registrar’s Office, Student Life, academic Advising.
- November 2021 draft paper discussion with unit leads

Recently, the provost office approved the idea of annual meetings with:

- An IT advisory group made of representatives from each faculty
- A discussion at Graduate Studies Committee
- A discussion with support units

**QUESTIONS FOR CONSIDERATION:**

- ChatGPT, deepfakes, Big Data, surveillance capitalism, social media, pandemics, our age feels like an endless tsunami of change. Faced with this unstable and constantly challenging world, how, then, can we train our students to understand, respond to, and analyze these transformations?
- What are the consequences of our plan – for example: How does this impact faculty, staff, students? How might it influence curriculum planning? What will this do to the budget? How will this help or hinder recruitment?
- Is the committee comfortable with the university's IT direction?

**SUPPORTING REFERENCE MATERIALS:**

- presentation entitled "Digital Strategy"





**Digital Strategy  
S&P Presentation  
May 11, 2023**



**“Our mandate is to...”**



# ONTARIO TECH UNIVERSITY

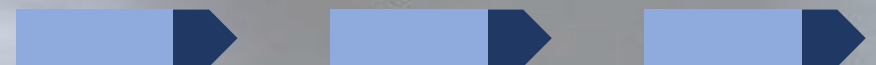
“Be a digital innovation leader and deliver a top-tier technology experience to our community.”

Increase movement to “The Cloud”: where innovation meets efficiency and security.

Create experiential learning opportunities for students and faculty

Improve student success by enhancing the digital experience and access to services

Provide students with the learning tools required to elevate their classroom experience.



## Pain of Today's Systems and Technology

Our current systems and procedures, which are predominantly manual, have become a hindrance to our day-to-day operations, restricting the productivity of our university to effectively enhance student success and retention.

**Today**



**Admin Staff**

- Multiple systems to use and inconsistent data, it's impossible to get things done!
- Why do we still have such manual processes?

**Teaching Assistants**

- Why can't I see my courses in the LMS even though I registered?
- Why can't I do more online courses? I have to work
- How many apps do I need to access to find the info?
- Why is my account disabled? I am still a student even though my TA contract is over!
- How do I get the grades into Banner again?
- Why is it so complicated to assign TAs to my courses?

**Faculty**

- How do I get my transfer credits assessed?

**Students**

- Wish I had more info to connect and engage with the Ontario Tech community

**Applicant**

- How do I get my transfer credits assessed?

**Alumni**

- Wish I had more info to connect and engage with the Ontario Tech community

## Digital Transformation



### Data & Analytics

Proactively manage by fact, data driven organization

### Systems & ERP

Establish an information technology innovation hub to provide a student-centric user experience that delivers technology based value.


### Process

Streamlined, scalable, automated processes

## Technology as a Competitive Advantage

By making strategic investments in technology, we can upgrade our operations, making them more efficient and scalable for daily tasks. This would also significantly enhance the student digital experience.

**Tomorrow**



**Admin Staff**

- Workflows help us process things faster and keep our students happy
- Having information in the same system makes my job so much easier to do

**Teaching Assistants**

- I have access to all the information I need

**Faculty**

- It's so easy to onboard TAs and instructors
- Offer more hybrid courses to engage students and provide flexibility
- I can easily identify and support at-risk students

**Students**

- I can be in class as soon as I register
- So many options for online and hybrid courses
- I can get answers to my questions at any time!
- I can handle anything without calling the main office!

**Alumni**




- Excited to hear about everything happening at the university



# IARP : Learning Reimagined






**Provide students and faculty with the learning tools required to elevate their classroom experience.**

-  Provide and support the LMS system and related learning tools to facilitate growth in the quantity and quality of online and hybrid curricular and course offerings, and open-access journals.
-  Implement and support the use of learning tools to strengthen the development, creation, production, adaptation, adoption and usage of OERs in each of our Faculties.
-  Support the implementation of a robust system to increase enrolment in a suite of increasingly diversified Continuous Learning offerings

# Digital Needs in Research

*Research projects at Ontario Tech are immense and diverse. Recently, the importance of safeguarding research data for national security issues has emerged as a foundational issue for the university research enterprise.*

*Examples of new projects that showcase these needs:*

-  *The Canadian Hub for Health Intelligence and Innovation in Infectious Diseases (HI3), lead by the University of Toronto - (2023-2027)*
-  The BioMolecular Excellence in Training, Research & Innovation Centre (BioMETRIC) – (2023 – 2028)  
Small Modular Reactors: Balancing Digital Technologies and Cyber risks for Small Modular Reactors in Remote Environments (2023-2027)
-  Creation of digital twins for prognostics and predictive maintenance for critical rotating machines (2022-2026)  
Connected Care Medical Module (C2M2) (2021-2025)



# 2023-2024

## Q1 + Q2

- Digital Experience Platform
- Implement MyCreds
- AI Technology

## Q3 + Q4

- AWS Redshift
- Intelligent Learning Platform

## Q1 through Q4

- Student Capstone Program

## Q4

- Enable self-service student options
- Movement to the cloud



Give students fast and accurate answers to their questions by utilizing intelligent bot technology

Digital experience portal will provide a streamlined student experience

Improve technology adoption with AI-based technology to increase student engagement within the LMS

Equip students for success by installing early warning systems



Enhance group collaboration in classrooms & other convergent environments by utilizing cutting edge technologies

Give students real-time access to courses on the LMS

Provide an immersive mixed reality environment that enhances the student's learning capabilities

Help students ease demanding schedules through facilitating a multitude of simulated/remote learning experiences in a virtual lab



Partner with faculty to develop capstone projects for students yielding both experiential learning and innovation

Give students relevant experiential learning experiences through formal co-op employment programs or work study assignments with IT services

Opportunities for students to enhance the university community by contributing to the development of new technology solutions



Enhance the student experience by leveraging workflow automation to streamline processes

Reduce the elapsed time for end-to-end processes through re-engineering of business procedures

Improve efficiency by seamlessly integrating innovative tools such as the Banner enterprise resource planning system

Adapt to the changing educational technology landscape by embracing cloud services to achieve agility and interoperability, while strengthening our security posture and incident recovery preparedness



# ITS MANDATE

Ontario Tech University ITS mandate is to be a digital innovation leader and to deliver a top-tier technology experience to our community. Ontario Tech students, faculty, researchers, and staff will receive an enhanced technological experience through the provision of leading industry IT resources. Partnerships will further enhance the digital expertise by collaboratively creating a robust strategic learning plan.

## Digital strategy plan

- › Digital strategy plan
- › Where next

## IT committees and projects

- › Committees
- › Project roadmap and status
- › Project intake process

## Digital moments

- › Learn more about our key digital moments

<https://itsc.ontariotechu.ca/its-mandate/index.php>

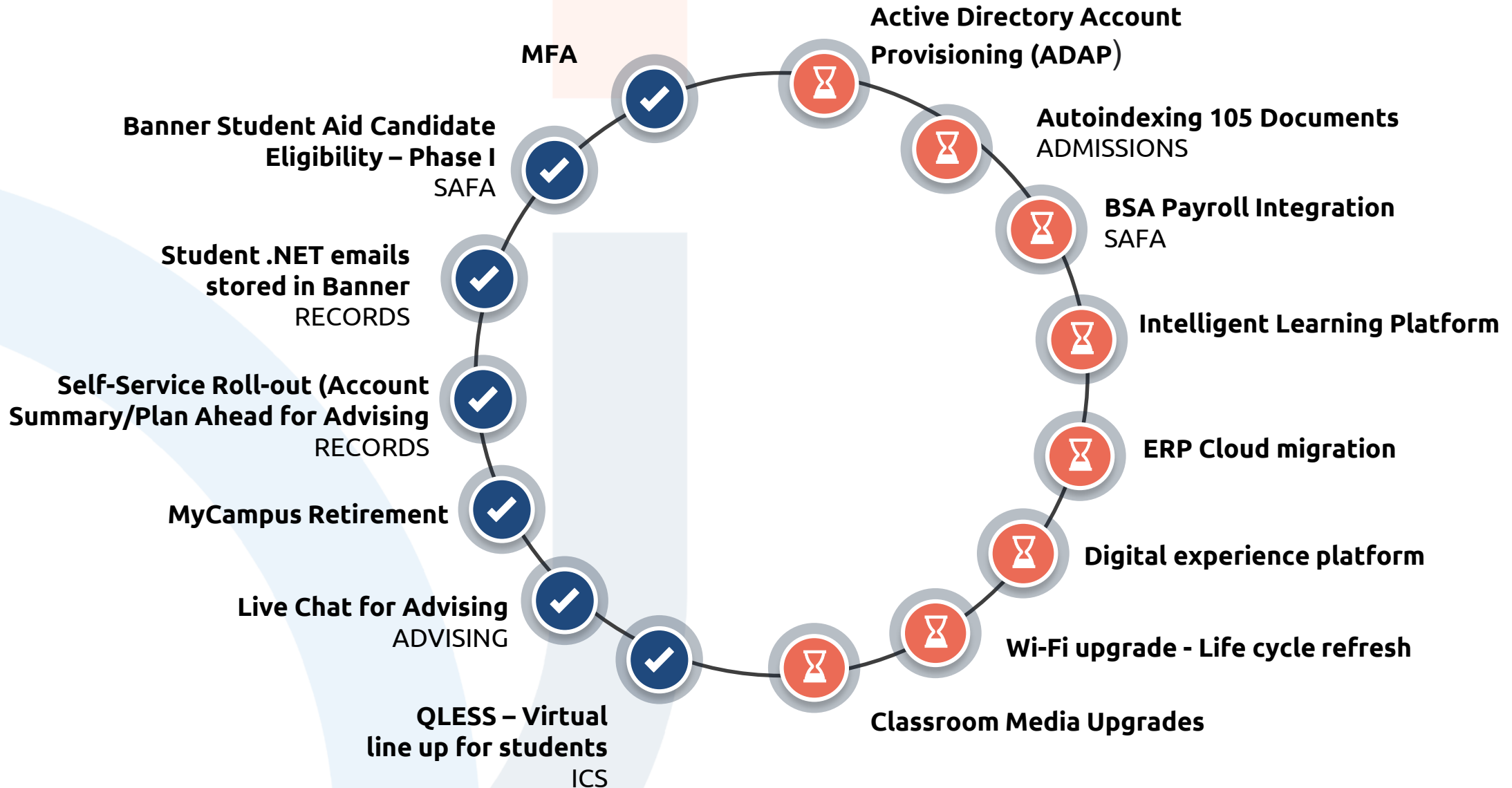


# OT-ITS PROJECT ROADMAP



✓ COMPLETED

⌚ IN PROGRESS





# ENTERPRISE ROADMAP

FY 2022		FY 2023				FY 2024				FY 2025			
Jan-Mar 2023	Apr-Jun 2023	Jul-Sep 2023	Oct-Dec 2023	Jan-Mar 2024	Apr-Jun 2024	Jul-Sep 2024	Oct-Dec 2024	Jan-Mar 2025	Apr-Jun 2025	Jul-Sep 2025	Oct-Dec 2025	Jan-Mar 2026	
Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Emergency contact		Standing Changes Workflow											
MyCreds			International student fees										
Synergy Gateway		Differentiated fees for out of province											
Transfer Credit Portal			TEAS Automation		Self Reporting Grades for 105								
(New Admission System Investigation)						New Admission System Implementation							
Revamp AQ Portal		OSAP Deferments		Domestic Internal Application				BSA Email Communication Automation		Refund Process (Hold **)			
MDUU - Confirmation of Interest							BSA Reporting (ODS/Cognos) (Investigation)						
Admissions - Quality Check			Research Progress Report Workflow										
TA Pool			Exam Deferral Workflow (Hold**)				Donor Gift agreement criteria						
TA Mass Upload Process		CRM Email Management											
Integration of Talent Management (OT HR) c/o									Grade Appeal Workflow (Hold**)				
Investigate Digital Experience Platforms													
Retire SSB8						Investigate solutions for Continous Learning							
Investigate Workflow Soutions						Investigate CRM solutions for Advising							
BDM Integration with Workflow & SSB						Investigate solutions for Degree Tracking							
Roll out SSB9 Functionality for all Banner modules													

# INFRASTRUCTURE ROADMAP

2023-2024				2024-2025				2025-2026				2026-2027			
Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>MAINTAIN</b>															
Hardware Selection				Hardware Selection				Hardware Selection				Hardware Selection			
				Test Environment Server Replacement											
								SCCM Server Replacements				Imaging Environment Server Replacement			
												License Server Replacement			
				Virtualization Servers and Switch Replacement											

2023-2024				2024-2025				2025-2026				2026-2027			
Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>IMPLEMENT</b>															
SharePoint 2019 Upgrade															
Google Storage limits															
DUO Multifactor Authentication															
				Windows 11											
				macOS Intune + Defender Full Rollout											
Github/Code Version Control															
				Bitlocker											
								Azure AD Connect				SCCM Imaging + Retire MDT			
												Azure Password Hash Sync + Password Recovery			

2023-2024				2024-2025				2025-2026				2026-2027			
Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>INVESTIGATE</b>															
				SharePoint Online											
Windows 11															
				S/ T Drive Analysis											
				Vaultwarden Password Manager											
												Windows Autopilot			
				PatchMyPC											
Lab Local Admin Removal															
								Off-Campus Windows Updates Solutions							
Firmware Patching Solution (Laptops + Docks)															
				Defender Enhanced Security Settings											
				Horizon Cloud Replacement								Intune for Software Deployment			
				Upgrade of Win 8.1 and Earlier Machines											
												Exchange Online			
												Azure AD Join Computers + Azure AD Computer Policies			
Digital Signatures for Document Signing															

2023-2024				2024-2025				2025-2026				2026-2027			
Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>REVIEW</b>															
Software Deployment Solutions (Portal vs SCCM)															
				DUO Multi Factor Authentication for M365											

# Estimated Budget for Current Roadmaps

Capital Initiative (with Inflation)	2023-24	2024-25	2025-26
Enterprise	\$673,500	\$629,320	\$801,123
Service Desk	\$25,000	\$20,600	\$5,305
Audio Visual	\$61,000	\$95,790	\$73,255
Network, Telephony and Data Centre	\$1,060,000	\$1,040,300	\$758,544
Information Security	\$38,500	\$13,905	\$66,306
IT Service Management	\$79,000	\$86,520	\$105,029
Procurement Plan	\$408,578	\$344,972	\$369,755
Creative Application of Technology	\$152,000	\$23,800	\$243,000
Classroom Environment	\$331,000	\$526,000	\$629,000
Experiential Learning	\$0	\$22,000	\$42,000
Quality Information	\$304,000	\$596,000	\$699,000
-			
<b>Totals</b>	<b>\$3,132,578</b>	<b>\$3,399,207</b>	<b>\$3,792,317</b>

Note current budget has \$1.7M



## METRICS/BUSINESS OUTCOME

- 🏆 Surveys of student satisfaction and decrease in volume of student enquiries
  - Partner with the Registrars office to identify student inquires to measure
- 🏆 Increase the number of successful capstone projects
  - Partner with Faculty to develop capstone project opportunities for students yielding both experiential learning and innovation
- 🏆 Dramatic reduction in elapsed time for end-to-end processes as experienced by the student
  - Provide students real-time access to courses on the LMS

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Lori Livingston, Provost and Vice-President Academic

**SUBJECT:** 2022-23 Quality Assurance Process & Program Annual Report

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### BACKGROUND/CONTEXT & RATIONALE:

As part of the annual reporting process, the Centre for Institutional Quality Enhancement (CIQE) provides an annual report to Academic Council and the Board for information that provides a snapshot of quality assurance frameworks and enhancements, academic program development and a summary of the status of Ministry Program approvals of Ontario Tech programs.

The attached Quality Assurance Process and Program Annual Report (formerly named the CIQE Annual Report), which was presented to the Strategy and Planning Committee on May 11, 2023, outlines the quality assurance process and activities that have occurred over the past year that align our internal Quality Assurance processes with the Province's Quality Assurance principles and Framework.

### IMPLICATIONS:

This is an annual report that is reported to Academic Council and the Board for information.

### ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:

Supporting program innovations, new programs, and cyclical program review processes ensures program quality at the University is in keeping with the priorities in the Integrated Academic and Research Plan.

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### SUPPORTING REFERENCE MATERIALS:

2022-23 Quality Assurance Process & Program Annual Report

# Quality Assurance Process and Program Annual Report

April 2022 – March 2023

Centre for Institutional Quality Enhancement (CIQE)



## **Summary: Quality Assurance Process**

The Provost is responsible for overseeing the implementation and administration of the quality assurance process. The day to day management of the process resides with the Centre for Institutional Quality Enhancement (CIQE). The CIQE office along with the Deans and units implement the procedures that are outlined by the Quality Council's [Quality Assurance Framework](#).

As part of the annual reporting process, CIQE provides an annual report to Academic Council and the Board of Governors for information that provides a snapshot of quality frameworks and enhancements, academic program development and a summary of the status of Ministry Program approvals of Ontario Tech programs.

The following report outlines the academic program additions and changes related to the quality assurance process that occurred from April 2022 to March 2023.

## Contents

<b>1</b>	<b>Internal University Process</b>	<b>2</b>
1.1	Notice of Intent	2
1.2	Minor Curricular Changes	2
1.3	Minor Program Adjustments	3
<b>2</b>	<b>Quality Council Approval Process</b>	<b>4</b>
2.1	New Program Approvals	4
2.2	Expedited Reviews	4
2.3	Major Modifications (Program Renewal and Significant Change)	4
2.4	Cyclical Program Reviews	5
2.5	Cyclical Audit	7
<b>3</b>	<b>Follow-Up Process</b>	<b>8</b>
3.1	New Program Monitoring	8
3.2	18-month reports	8
<b>4</b>	<b>Ministry of Colleges and Universities Approvals</b>	<b>10</b>
	<b>Summary</b>	<b>10</b>

# 1 Internal University Process

## 1.1 Notice of Intent

For all new diploma and degree programs a Notice of Intent (NOI) must be submitted to the Provost for approval. Once approved by the Provost, the program has to go through the internal consultations and approvals, outlined in the columns below. Submission to Academic Council must be completed within two years of the NOI approval, however the process takes about 13-15 months to get through the internal approval process.

This year there were three (3) programs that underwent the NOI process. Their progress is indicated in Table 1.1 below.

**Table 1.1 Notice of Intent Internal Progress**

Program	Notice of Intent	Academic Resource Committee	CPRC/USC/GSC	Academic Council	Board of Governors
BASc Sustainability*	Aug-20	Jan-23			
MASc/MEng Mechatronics*	Nov-20	Nov-22			
PhD Cybersecurity	Feb-23				

\*the Provost approved NOI extensions for these programs

## 1.2 Minor Curricular Changes

Minor curricular changes are changes at the course level only and do not impact overall program requirements. These include changes in elective offerings, course titles, descriptions, course delivery, or credit weighting of elective courses. For the reporting timeframe there were a total 531 minor curricular changes, these are provided by Faculty in Table 1.2.

**Table 1.2 Minor Curricular Changes by Faculty**

Faculty	Minor Curricular Changes
Faculty of Business and Information Technology	27
Faculty of Education	99
Faculty of Engineering and Applied Science	21
Faculty of Health Sciences	57
Faculty of Science	27
Faculty of Social Science and Humanities	300

The majority of minor curricular changes occurred for mode of delivery with the addition of online or hybrid options. Expanding mode of delivery options for courses will allow for greater flexibility in course offerings should the need arise.

### 1.3 Minor Program Adjustments

Minor program adjustments impact overall program requirements but do not greatly impact the program learning outcomes. These include the introduction of new required courses, deletion of required courses, editorial changes to degree requirements or program learning outcomes, or changes or additions to new academic requirements. For the reporting timeframe there were a total 31 minor program adjustments, shown in Table 1.3.

**Table 1.3 Minor Program Adjustments by Faculty**

Faculty	Minor Program Adjustments
Faculty of Business and Information Technology	7
Faculty of Education	3
Faculty of Engineering and Applied Science	7
Faculty of Health Sciences	6
Faculty of Science	2
Faculty of Social Sciences and Humanities	6

## 2 Quality Council Approval Process

### 2.1 New Program Approvals

This applies to both new undergraduate and graduate programs and is used to secure the academic standards of new programs and to assure their ongoing improvement. The Quality Council reviews the programs, and has the final authority to approve or decline new programs.

There were no new programs submitted to the Quality Council for approval during the annual reporting timeframe.

Brief descriptions of all previously [approved programs](#) from the Quality Council can be found on the Quality Council's website.

### 2.2 Expedited Reviews

This applies to for-credit graduate diplomas. The Quality Council can also request this type of review for a new field in a graduate program, or request based on proposed major modifications of an existing program.

There were no programs submitted to the Quality Council for expedited review approval during the annual reporting timeframe.

### 2.3 Major Modifications (Program Renewal and Significant Change)

Major program modifications result in substantive changes to the nomenclature, program requirements, and/or program learning outcomes. These include significant changes to the learning outcome, faculty engaged in the delivery of the program, or the addition of a new field to an existing graduate program. A report of all major modifications is provided to the Quality Council annually in July.

**Table 2.1 Major Modifications Governance Progress**

Faculty	Program	Faculty Council	USC/GSC	Academic Council
Faculty of Education	MA, MEd, UG and GR Diploma, Education	Nov-23	Jan-23	Feb-23
	BA, Educational Studies	Apr-23	May-23	Jun-22
	BA, Educational Studies	Dec-22	Jan-23	Feb-23
	UG Diploma, Facilitating Adult Learning with Technology	Dec-22	Jan-23	Feb-23
Faculty of Engineering and Applied Science	MEng, Automotive Engineering	Oct-23/Dec-23	Jan-23	Mar-23
	MEng, Electrical and Computer Engineering	Oct-23/Dec-23	Jan-23	Mar-23
	MEng, Mechanical Engineering	Oct-23/Dec-23	Jan-23	Mar-23
Faculty of Health Sciences	MScN, Nursing	Dec-22	Jan-23	Feb-23

Faculty	Program	Faculty Council	USC/GSC	Academic Council
Faculty of Science	BSc, Biological Science, Environmental Toxicology	Dec-23	Dec-22	Jan-23
	BSc, Mathematics for Science and Industry	Dec-23	Jan-23	Feb-23
Faculty of Social Sciences and Humanities	BA, All programs	Dec-22	Jan-23	Feb-23
	BA, Communication and Digital Media Studies	Dec-22	Jan-23	Feb-23
	BA, Criminology and Justice	Dec-22	Jan-23	Feb-23
	MA, Criminology	Nov-22	Jan-23	Feb-23
	BA, Forensic Psychology	Dec-22	Jan-23	Feb-23
	BA, Legal Studies	Jan-23	Jan-23	Feb-23
	BA, Liberal Studies	Dec-22	Jan-23	Feb-23
	BA, Political Science	Dec-22	Jan-23	Feb-23
	BA, Psychology	Dec-22	Jan-23	Feb-23
	BA, Social Innovation and Entrepreneurship Minor	Dec-22	Jan-23	Feb-23

## 2.4 Cyclical Program Reviews

As set by the Quality Council all existing undergraduate degree programs, graduate degree programs, and for-credit diploma programs are subject to review once every eight years.

The cyclical program review allows for an in-depth, critical look at the program and follows an [internal 2-year timeframe](#). The review involves the following six components:

- Review and enhancement of program learning outcomes;
- Development of a self-study brief;
- External evaluation to provide recommendations on program quality improvement;
- Internal responses to the external review and recommendations;
- Preparation and approval of a [Final Assessment Report \(FAR\)](#) and implementation plan; and
- Subsequent reporting on the implementation of recommendations (18-Month reports discussed under Follow-Up Process, Section 3.2 below)

The number of programs and the review cycle process they are currently in is provided in Table 2.2 below, presented by Faculty and degree level. The [program review schedule](#) is posted on the CIQE website for reference at any time.

**Table 2.2 Cyclical Program Review Process Stage Summary**

Level/Faculty	Self-Study	External Review	Total
<b>Undergraduate</b>	<b>7</b>	<b>1</b>	<b>8</b>
Faculty of Business and Information Technology	2		2
Faculty of Education			
Faculty of Engineering and Applied Science			
Faculty of Health Sciences	3		3
Faculty of Science	1		1
Faculty of Social Science and Humanities	1	1	2
<b>Graduate</b>	<b>9</b>	<b>1</b>	<b>10</b>
Faculty of Business and Information Technology	1		1
Faculty of Education			
Faculty of Engineering and Applied Science	3		3
Faculty of Health Sciences		1	1
Faculty of Science	3		3
Faculty of Social Science and Humanities	2		2

Programs that have finalized their internal portions of the process and have now submitted their FAR to University governance are listed in Table 2.3 below. Once all of the university governing bodies have been provided the report for information it is then submitted to Quality Council.

**Table 2.3 Cyclical Program Review Governance Progress**

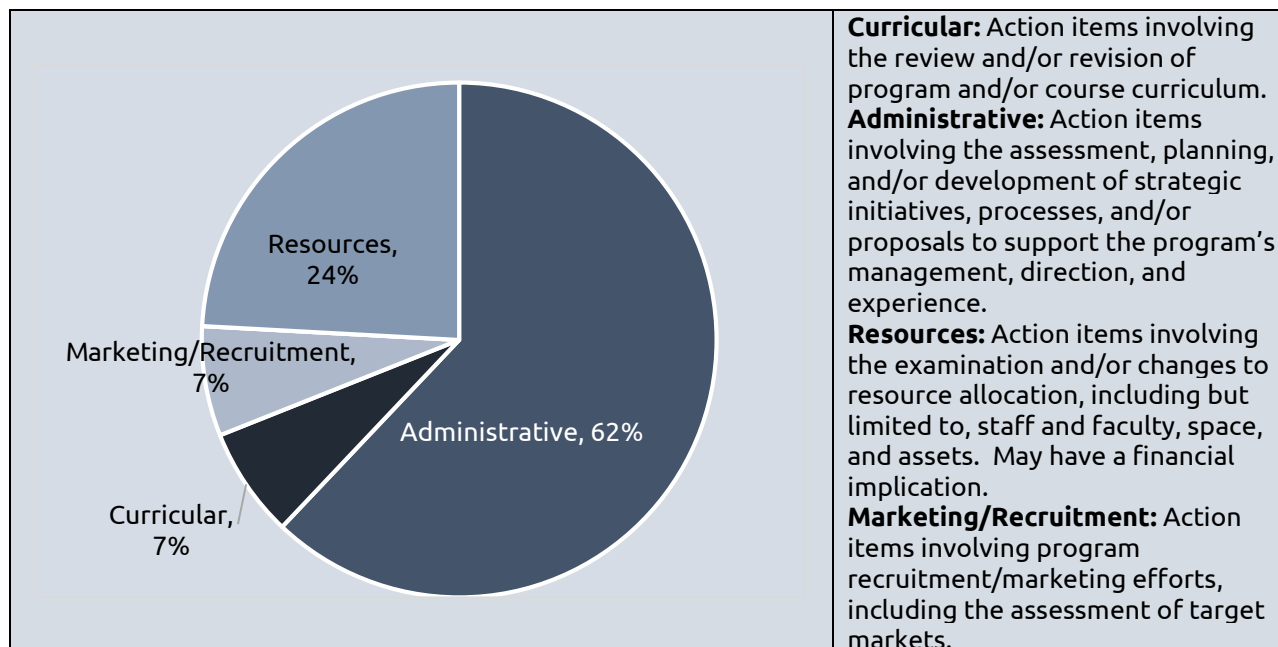
Program	Faculty Council	Academic Resource Committee	CPRC/USC/GSC	Academic Council	Board of Governors
BSc Computer Science	Sep-22	Sep-22	Oct-22	Nov-22	Dec-22
MSc & PhD Computer Science	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23
BSc Physics	Apr-23	Apr-23			

There continues to be an overall increase in the number of reviewer recommendations, and subsequent action items coming out of the cyclical program reviews. A breakdown of the FAR thematic trends is outlined in the pie chart, Chart 2.1 below.

A total of 29 action items were reported at both the program and course level. A sample of action items are:

- Increase co-op participation;
- Analysis of retention rates;
- Expand upper-level course offerings;
- Provide additional supports for labs (equipment, training);
- Enhance connections with current students and alumni
- Increase online Library collections and engage Librarian in upper-year courses.

**Chart 2.1 Final Assessment Report Thematic Trends**



## 2.5 Cyclical Audit

The Quality Council approves each university’s [Institutional Quality Assurance Process \(IQAP\)](#) and conducts a periodic audit of how each university’s IQAP is administered to ensure that the manner in which each university conducts its program reviews conforms both to the university’s IQAP and the Quality Assurance Framework.

Ontario Tech had its last audit in the [winter of 2019-20](#), and we are scheduled to have our next audit in the winter of 2029-30.

## 3 Follow-Up Process

### 3.1 New Program Monitoring

In the first year of intake and one year after the launch of a program, an initial report is prepared for the Academic Resource Committee (ARC) that will review enrolment data, admission averages, and other key metrics to assess the new programs effectiveness.

The programs that underwent an intake report were:

- Bachelor of Health Administration
- Doctor of Education
- Master of Business Analytics and AI
- Bachelor of Science – Biological Science, Marine Biology Specialization

The programs that provided a one-year report were:

- Integrated Math and Computer Science
  - ARC has requested further monitoring of both intake and retention rates to be completed in one year.

### 3.2 18-month reports

Eighteen-month follow-up reports comment on the completion of action items outlined in the initial final assessment reports. ARC reviews these reports to gain insight into how many actions have been completed, and if not, for what reasons. Reviewing the completion level assists the committee in resource planning for how to support current programs under review not yet at the 18-month mark. It also allows for discussions with the program about the feasibility of action items outlined at the FAR stage of the review to ensure success 18-months later.

For 2022-2023, there were three 18-month follow-up reports as part of the cyclical program review process follow up.

- Bachelor of Science, Forensic Science
- Bachelor of Arts, Forensic Psychology
- Bachelor of Science, Applied and Industrial Mathematics

A copy of all [18-month reports](#) are available on the CIQE website for reference.

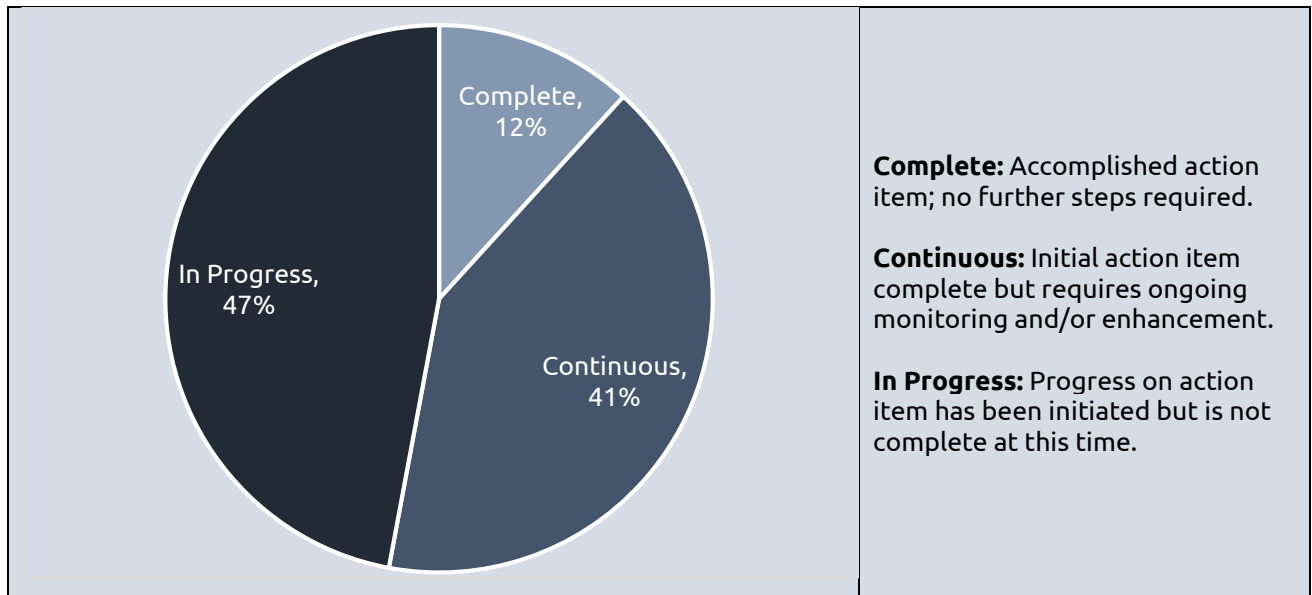
Upon reviewing the follow-up reports, the majority of action items are in progress or require continuous monitoring following the 18-month time frame. A selection of these items is outlined below.

- Continue to offer a selection of in-person and online courses post-pandemic while navigating online assessment challenges.
- Ongoing and formal communication with the recruitment and marketing teams to enhance enrolment.
- Improve exposure of early-year students to research faculty.
- Expand collaborative projects and connections with other Faculties.



The following chart outlines the overall process status of the 17 action items found in these reports.

**Chart 3.1 Final Assessment Reports Action Items Status, 18-month follow-up**



It falls to the Faculty to indicate when an action item has been completed and these are reported at the Academic Resource Committee (ARC) . After the 18-month review the Faculty Dean and the Provost discuss any outstanding or in progress items to be updated within the CIQE files.

## 4 Ministry of Colleges and Universities Approvals

While a program can be offered once the Quality Council has provided approval, receiving Ministry of Colleges and Universities (Ministry) approval allows for the students taking these programs to be eligible for OSAP funding and allows the institution to report domestic students towards our enrolment grant corridor.

The programs that were submitted for Ministry approval are provided in Table 4.1 below. Only one program, Undergraduate Diploma in Public Policy, was denied by the Ministry. The rationale was that the Ministry had, “concerns with respect to alignment with Ontario Tech’s focus to provide undergraduate and graduate programs that are technology enriched”. The Faculty is currently looking at options as to how to move forward with the program that was developed.

**Table 4.1 Ministry of Colleges and Universities Submission and Approval Dates**

Program	Submission Date	Approval Date
Doctor of Education (EdD)	Nov-21	May-22
Master of Financial Data Analytics	Dec-21	May-22
MASc/MEng Software Engineering	Feb-22	May-22
BEng Industrial Engineering	Mar-22	Sep-22
BEng Energy Engineering	Mar-22	Sep-22
Undergraduate Diploma Public Policy	Mar-22	Denied
Graduate Diploma in Police Leadership	Nov-21	Dec-22

### Summary

As we worked through the pandemic there were instances where extensions were given in order to accommodate a more flexible and ever changing post-secondary landscape. As we begin to embark on the post pandemic era, timelines and process steps will fall under traditional timelines. The CIQE office will continue to monitor these timelines and communicate with the Provost and all Faculties to ensure that they are met.

The majority of quality assurance processes, aside from new programs, all saw increases over the past year. With many NOIs pending we are anticipating that the new program process will pick up in the upcoming year. It is also expected that, going into its third decade, the university will see the volume of activity related to quality assurance processes such as curricular additions and changes remain high in order to maintain quality and remain relevant to students. The volume of programs undergoing the cyclical review process has been substantial this cycle and will continue in this pattern due to timing of program initiation and as a result of expanding the review process from 1-year to 2-years.

## BOARD REPORT

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**SESSION:**

Public   
Non-Public

**ACTION REQUESTED:**

Decision   
Discussion/Direction   
Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**PRESENTED BY:** Lori Livingston, Provost and Vice-President, Academic

**SUBJECT:** 2022-2023 Continuous Learning Annual Report

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**BACKGROUND/CONTEXT & RATIONALE:**

As part of the annual reporting process, Continuous Learning provides an annual report to Academic Council and the Board that provides a summary of the program offerings, enrolments in programs as well as major activities to expand professional development program offerings. This report was presented to Strategy and Planning Committee on May 11, 2023.

**IMPLICATIONS:**

This is an annual report that is reported to Academic Council and the Board for information.

**ALIGNMENT WITH MISSION, VISION, VALUES & STRATEGIC PLAN:**

As Continuous Learning expands its program offerings and partnerships, it is able to provide the community with more flexible and accessible training options while also generating alternative sources of revenue for the University. The programming and outreach align with all four strategic priorities in the Integrated Academic and Research Plan.

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**SUPPORTING REFERENCE MATERIALS:**

2023 Continuous Learning Annual Report

# Continuous Learning Annual Report 2022-2023

STRATEGY AND PLANNING

PREPARED BY: CONTINUOUS LEARNING

## **Background**

Established in 2019, Ontario Tech University's Continuous Learning unit is a hub for not-for-credit and non-degree programming at the university. Continuous Learning promotes and facilitates non-degree learning initiatives, both independently and in collaboration with Faculties. Working with Faculties across campus, Continuous Learning builds and houses certificate programs, micro-credentials and other learning opportunities that support lifelong learning.

In 2022-2023, Continuous Learning actively engaged in developing transparent financial models that align with the University Intellectual Property policy and collective agreements. These models aim to ensure that faculty members receive fair compensation for their valuable contributions to these learning initiatives. By encouraging faculty member participation, while simultaneously ensuring financial sustainability, Continuous Learning seeks to create an environment that benefits all stakeholders involved and encourages additional participation in the development of relevant professional development. This initiative seeks to align Continuous Learning with the university's strategic priorities of re-imagining learning and developing academic partnerships.

## **2022-23 Activity**

In August 2022, a new Director was hired and took over from the Interim Director. The Director gained an understanding of the role and responsibilities and focused on the partnerships and legacy relationships that exist between Continuous Learning and Faculties and other administrative units across the University.

Developing an understanding of these partnerships and the key players was a critical first step in meeting our mandate to promote additional partnerships with the Faculties and faculty members in the future. Initial development of financial models in 2022-2023 to promote additional partnerships has allowed for several initiatives that are being pursued for development and launch in 2023-2024.

Continuous Learning also streamlined internal processes to support the development of new programs and courses. We improved website development and transitioned to a new template, enhanced registration management procedures, and standardized the use of our registration and learning management system.

## **Open Enrolment**

From April 2022 to March 2023, Continuous Learning recorded 296 open enrolment program registrations with 196 program completions, representing modest growth over the previous year.

We launched two new programs:

1. Introduction to Higher Education Management University Certificate program. This was developed in partnership with the Faculty Business and Information Technology and subject matter experts from Durham College and Trent University.
2. Full Stack Developer. This is offered in partnership with Robogarden, an Alberta based organization specialized in “full-stack” programming.

### **Corporate Training**

Significant growth was achieved in Corporate Training initiatives with 15 specific programs delivered for 10 separate organizations, compared to 9 programs in 2021-2022. We issued 256 individual program certificates in leadership development and other custom training programs. Our expertise in leadership development was expanded to include specific industry focus areas in Early Childhood Education, Policing, and Healthcare Change Management. This adds to our considerable expertise in Nuclear Operations (through our partnership with the Faculty of Engineering and Applied Science and the Director of Industry Training) and notable developments in our capacity to deliver training in specific focus areas including CANDU decommissioning, Small Modular Reactors, Hybrid Energy Systems, and more.

In 2022-2023, preparations were made to hire a contract Business Development and Marketing Manager in May 2023. This Manager will have a focused mandate to expand our client base for corporate training.

### **Microcredentials**

As Continuous Learning enters the 2023-2024 academic year, the department continues to support Ontario Tech’s Microcredentials and Badge programs. Over the past year 833 unique users received 738 TD Microcredential badges and the available courses has increased to over 30 topics of interest. It should be noted that a number of additional students have registered for a microcredential, but have yet to complete the requirements to receive their badge.

Continuous Learning continued to support the development of eCampus Ontario Virtual Learning Strategy funded microcredentials. These include French translations of Dementia modules and Interprofessional Communication for Medical Laboratory Technicians.

### **Summer Camps**

The Summer Camps program, offered in partnership with the Faculty of Education and Faculty of Engineering and Applied Science, provides fun, hands-on opportunities for children ages six to seventeen to learn and explore their curiosity in a positive, safe environment. The program runs annually for eight consecutive weeks—from July to August. In 2022 the summer camps program returned to an in-person format, with virtual camp options available to include long-distance families and those not yet ready to return to an in-person format. Bringing the camps program back to an in-person format post-pandemic included several operational unknowns, which ultimately delayed the launch of camps registration by two months. In particular, the possibility of camper and staff cohorting shortfalls questioned the viability of the entire summer program.

As Ontario continued to lift COVID-19 guidelines, final policy implementations included absence due to illness reporting, masking while in university spaces and a flexible refunds policy for ill campers. Despite registration opening in April 2022, the program attracted 1,281 camp registrations. In-person camps were offered weekdays from 9 a.m. to 4 p.m. with extended care available. Virtual camps, in contrast, were available for two hours per weekday.

**2022 Summer Camp Offerings by Camp Type**

Unique camp offerings	In-person (week-long)	Virtual (week-long)	Family (one-day camp)
48 <sup>1</sup>	45	7	5

Continuous Learning surveyed its 2022 summer camp cohort to gain camper testimonials and valuable feedback, and to identify improvements for the 2023 summer program. The upcoming 2023 Summer Camps program again offers a mix of in-person and virtual camps with most camps being held in-person at Ontario Tech’s north campus location. Registration for 2023 Summer Camps opened in February, and Continuous Learning has partnered with Athletics and Recreation and Engineering Outreach to pilot a half-sports, half-engineering camp to kids age 12-13.

**Spring Camps**

In 2023, Continuous Learning offered its second virtual spring camps program from March 14 to March 18. The expanded program included five camps which filled to 54% capacity with 107 camp registrations. Each camp ran for two hours per weekday and was geared toward children aged 6 to 13. The previous year’s camps had significantly higher numbers than this year’s due to the pandemic. There were not very many in-person camp options available in March 2022.

For 2024, Continuous Learning is actively exploring how a small number of camps could be delivered in person, whether on campus, or in partnership with another organization at their location. School age March break does not coincide with university breaks, which significantly limits on-campus options.

A listing of all Continuous Learning opportunities and number of registrants during the year is provided in Appendix A.

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<sup>1</sup> Certain camps run more than once resulting in the number of unique camp offerings (48) being lower than the total number of camps run (57)



## APPENDIX A: Continuous Learning

Summary of Continuous Learning activities from April 2022 to March 2023. Only activities that grant an official certificate or letter of completion have been included below. ★ = new this year

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
Continuous Learning	<b>University Preparatory Program:</b> A specialized certificate program designed to prepare high school graduates for the academic demands of university consisting three (3) pillars: numeracy, literacy and academic success, and a supportive coaching component.	3 months (1 Semester)	55 offers sent, 36 registrants	20
Continuous Learning	<b>Professional Management:</b> A certificate program consisting of five (5) courses designed to enhance the managerial effectiveness and leadership abilities of today's business professionals.	30 hours	19	8
Continuous Learning	<b>Not-for-Profit Leadership:</b> A certificate program consisting of five (5) courses designed to meet the unique challenges faced by managers in the Not-for-Profit sector.	30 hours	12	7
Continuous Learning	<b>Professional Communications Program:</b> Consists of five (5) courses designed to enhance the effectiveness of communication abilities of today's business professionals. These courses provide a solid	30 Hours	10	5




Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
	foundation of business skills and practices for supervisors, managers, and technical professionals who require functional management and leadership training			
Continuous Learning	<b>Digital Management:</b> A re-designed social media program. This three (3) course program is designed for those who need take action and launch a Social Media strategy they can implement right away so that they can obtain a successful return on investment for their organization.	18 hours	7	5
Continuous Learning	<b>Master's Certificate in Public Sector Management:</b> A certificate program consisting of fifteen (15) courses that requires application and approved admission designed for managers and executives with diverse educational backgrounds who are experienced in a public sector/government or related organization.	90 hours	31	31
Continuous Learning	<b>LEAN Green Belt:</b> A certificate program offered in partnership with Leading Edge Group focused on the lean management approach.	N/A	N/A (courses taken with Leading Edge group)	27

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
Continuous Learning	 <b>Introduction to Higher Education Management:</b> Asynchronous course designed for anyone employed (or looking to be employed) with a post-secondary educational facility looking to enhance their administrative skills.	6 Hours (Asynchronous )	40 (including free registrations as part of a pilot)	6 (as the program was only recently launched, many have not yet completed)
<b>Custom Courses/Programs</b>				
Continuous Learning / Faculty of Engineering and Applied Sciences	<b>CANDU Station System Design and Operation – Custom courses for Canadian Nuclear Safety Commission (CNSC):</b> Nuclear Power Plant Operations Training for Regulators.	8 x 1-week courses; Each 1-week course contains 35 learning hours; 280 hours total for all 8 courses; Maximum of two (2) cohorts per year. Participants take up to 8 modules.	19 in 2021/22 cohort  <i>Note: 2023 cohort is to be scheduled</i>	39 module certificates issued January through March 2022  65 module certificates issued April through September 2022
Continuous Learning / Faculty of Engineering and Applied Sciences	 <b>Custom course for Canadian Nuclear Safety Commission (CNSC):</b> Small Modular Reactor (SMR) Design.	Standalone 1-week course consisting of 35 learning hours; Inaugural delivery (February 2022); second and	26 February 2022  22 October 2022; 24 January 2023	24 February 2022  21 issued October 2022; 23 issued January 2023

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
		third offering October 2022 and January 2023.	2023/24 cohort TBD	
Continuous Learning	<b>Ontario Shores Custom Leadership Program (2022) – (Peterborough Regional Health and Northumberland Hills Hospital/Ontario Shores):</b> A custom certificate program consisting of five (5) courses designed to develop strategies and insight related to change management specific to healthcare-based organizations.	30 hours	20	20
Continuous Learning	<b>Certificate in Leadership Excellence – Custom program for Durham Region:</b> A custom certificate program consisting of eight (8) leadership excellence courses aligned with Durham Region’s core values. Graduates move on to take the Master’s Certificate in Public Sector Management program.	60 hours; one (1) to two (2) cohorts per year	20	14
Continuous Learning	<b>Certificate in Police Leadership – Custom program for Durham Regional Police Services (DRPS):</b> A certificate program designed to develop leadership strategies aligned with DRPS core competencies. The program consists of three (3) modules, each with four (4) weeks of online content and one (1) half-day, in-class workshop.	Three (3) months; 1 cohort	25	15

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
Continuous Learning / Faculty of Engineering and Applied Science	<p><b>Advanced Operations Overview for Managers (AOOM) – Custom Program for Ontario Power Generation (OPG):</b> Development and delivery of training to operational managers in the nuclear industry.</p>	<p>20 weeks total; 6 hours lecture time per day; 18 days for self-study, and 3 field tours. Approximately 445 lecture hours total. Additional guided and self-guided field tours and self-study days not counted towards total lecture hours.</p>	<p>5 in 2021 9 in 2022 6 in 2023</p>	<p>5 in 2021 9 in 2022 <i>Note: 2023 program concludes June 2023.</i></p>
Continuous Learning	<p><b>Organizational Development &amp; Performance Improvement (PEL 77863)– Custom program for OPG:</b> Under a five (5) year agreement (2018-2023), course offerings may run multiple times each quarter (based on OPG scheduling).</p>	<p>One (1) course offering (6 Hours)</p>	<p>N/A</p>	<p>N/A</p>
Continuous Learning	<p><b>Stakeholder and Change Management (PEL 77870) – Custom program for OPG:</b> Under a five (5) year agreement (2018-2023), course offerings may run multiple times each quarter (based on OPG scheduling).</p>	<p>Five (5) course offerings (30 Hours)</p>	<p>N/A</p>	<p>N/A</p>

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
Continuous Learning	<b>Oversight Execution: Conflict Resolution, Negotiation and Communication Skills (PEL 70705) – Custom program for OPG:</b> Under a five (5) year agreement (2018-2023), course offerings may run multiple times each quarter (based on OPG scheduling).	One (1) course offering (6 Hours)	N/A	N/A
Continuous Learning	<b>Effective Written Communication in a Project Environment (PEL 77801) – Custom program for OPG:</b> Under a five (5) year agreement (2018-2023), course offerings may run multiple times each quarter (based on OPG scheduling).	One (1) course offering (6 Hours)	N/A	N/A
Continuous Learning	★ <b>Custom Leadership Program:</b> Municipality of Port Hope	30 Hours	25	N/A
Continuous Learning	★ <b>Custom Leadership Program:</b> City of Peterborough	36 Hours	25	20
Continuous Learning	★ <b>Custom Leadership Program:</b> Five Counties (* <i>Early Childhood Educators Program*</i> ) - We also have 2 new programs beginning this fiscal year with <u>Five Counties</u> and another with the <u>Early Years Group</u> all designed for ECE's and Educators.	36 Hours	25	7

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
Continuous Learning	 <b>Custom Police Leadership Program:</b> Cobourg Police Services - A certificate program designed to develop leadership strategies aligned with Cobourg Police core competencies. The program consists of three (3) modules, each with four (4) weeks of online content and one (1) half-day, in-class workshop.	36 Hours	25	22
Continuous Learning	<b>AQ/ABQ Program:</b> AQ custom courses deepen the knowledge/skills needed to design, deliver, and assess programs in a specific discipline, field and/or division. Offered in one (1) to three (3) sessions, courses expand to offer a specific focus on leadership skills within the discipline or division. ABQ custom courses qualify Ontario College of Teachers (OCT) members to teach in specific divisions in addition to current division qualifications. At Intermediate and Senior levels, qualification is based on specific subjects: Math, Science, English, Philosophy and Social Sciences. AQ/AQB courses are available to OCT members only.	125 hours; 12 (Twelve) course offerings	75	75 <i>Note: Certificate recorded by OCT.</i>
Continuous Learning	<b>Math and Coding – Elementary:</b> A custom professional development course designed	16 hours; One (1)	8	8

Faculty or Non-academic Unit	Brief Description of Offering	Number of Hours or Length of Offering	Number of registrants **	Number of certificates awarded
	to help in-service elementary educators prepare and grow within the new math curriculum.	course offerings		
Continuous Learning	<b>Charles H. Best Type 2 Diabetes Educator Program</b> 10 asynchronous modules	Self-paced	18 Full Program 13 Individual Modules	4

\*\*Some Continuous Learning certificate programs allow individuals to sign-up for courses individually without completing the full certificate program. The number of registrants refers to the number of individuals who registered for any course(s) offered as part of this program. All certificates were counted once, regardless of the number of individual course registrations in the certificate program they registered for. An “N/A” in this appendix means that individual courses in this certificate program were custom programs, not open to the general public for registration.

## BOARD REPORT

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**SESSION:**

Public   
 Non-Public

**ACTION REQUESTED:**

Decision   
 Discussion/Direction   
 Information

**TO:** Board of Governors

**DATE:** June 28, 2023

**FROM:** Laura Elliott, Board Chair

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

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**Membership on the Board of Governors in 2022-23:**

- Laura Elliott, Board Chair
- Maria Saros, Vice-Chair and Chair of Governance, Nominations & Human Resources Committee
- Lynne Zucker, Vice-Chair and Chair of Strategy & Planning Committee
- Eric Agius Vice Chair of Strategy & Planning Committee
- Ahmad Barari
- Carla Carmichael, Chair of Audit and Finance Committee
- Kevin Chan
- Doug Ellis (Resigned December 2022)
- Mitch Frazer, Chancellor
- Ran (Kathy) Hao, LGIC Governor
- Kori Kingsbury
- Thorsten Koseck
- Matthew Mackenzie
- Dale MacMillan
- Steven Murphy, President and Vice-Chancellor
- Michael Rencheck (Appointed January 1, 2023)
- Joshua Sankarlal
- Kim Slade
- Trevin Stratton
- Dwight Thompson (Appointed February 1, 2023)
- Roger Thompson, Vice-Chair of Audit & Finance Committee
- Jim Wilson



## **Committee Membership for 2022-23:**

### **Executive Committee**

Laura Elliott, Chair and Board Chair

Maria Saros, Vice-Chair and Chair of Governance, Nominations & Human Resources Committee

Lynne Zucker, Vice-Chair and Chair of Strategy & Planning Committee

Carla Carmichael, Chair of Audit & Finance Committee

Steven Murphy, President & Vice-Chancellor

### **Audit and Finance Committee**

Carla Carmichael (Chair)

Roger Thompson (Vice-Chair)

Ran (Kathy) Hao (transferred from GNHR February 1, 2023)

Thorsten Koseck

Dale MacMillan

Kim Slade

Laura Elliott, Board Chair (ex-officio)

Steven Murphy, President (ex-officio)

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

Maria Saros (Chair)

Kori Kingsbury

Trevin Stratton

Dwight Thompson

Laura Elliott, Board Chair (ex-officio)

Steven Murphy, President (ex-officio)

### **Strategy & Planning Committee**

Lynne Zucker (Chair)

Eric Agius (Vice-Chair)

Ahmad Barari

Kevin Chan

Matthew Mackenzie

Michael Rencheck

Joshua Sankarlal

Jim Wilson

Laura Elliott, Board Chair (ex-officio)

Steven Murphy, President (ex-officio)

## Board & Committee Meetings

In total, the Board and its standing committees met 20 times throughout 2022-23.

The Board of Governors meetings were held on:

- December 1, 2022
- March 9, 2023
- April 27, 2023
- AGM June 28, 2023

The standing committees had a total of 16 meetings, which were held as follows:

Committee	Number of Meetings	Meeting Dates
Audit & Finance	4	November 23, February 22, April 12, June 14
Executive	4	September 20, October 18, November 14, February 1
Governance, Nominations & Human Resources	4	October 20, January 26, March 30, May 25
Strategy & Planning	4	October 27, January 12, March 22, May 11
<b>Total:</b>	<b>16</b>	

## Orientation & Professional Development Sessions

- September 2022: Joint Board & Academic Council Orientation
- October 2022: Joint Board & Academic Council Session with Visiting Elder
- December 2022: Downtown Campus Tour before Board of Governors Meeting
- January 2023: Optional PD Session – IT and Cybersecurity
- February 2023: Optional PD Session – Faculty Research
- March 2023: New Governor Onboarding
- March 2023: Optional PD Session – Telling Our Story
- May 2023: Optional PD Session – Understanding the Financial Reporting Process
- Online: *The Four Seasons of Reconciliation*