

Open Board of Governors

Algoma University - Board of Governors

SSM Campus / Virtual

Nov 24, 2022 6:00 PM - Nov 24, 2022 7:30 PM EST

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1. CALL TO ORDER

1.1. Acknowledgement of Traditional Territories

1.2. Chair's Opening Remarks

1.3. Declarations of Conflicts of Interest

2. APPROVALS OF MOTIONS MADE IN CLOSED SESSION

MOTION : To approve the motions made in the Closed Session.

3. CONSENT AGENDA

MOTION : That all items listed under the 'Consent Agenda' be approved as recommended.

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7.1.1. Procurement Policy

MOTION : That the Board of Governors approve the Procurement Policy as recommended by the Risk and Finance Committee.

7.1.2. Purchasing Card Policy

MOTION : That the Board of Governors approve the Purchasing Card Policy as recommended by the Risk and Finance Committee.

7.1.3. Travel, Meal and Hospitality Expense Policy

MOTION : That the Board of Governors approve the Travel, Meal and Hospitality Expense Policy as recommended by the Risk and Finance Committee.

7.2. Approval of Audited Statements of the Pension Plan.....104

MOTION : That the Board of Governors approves the June 30, 2022 Pension Plan Financial Statements.

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8. NEW BUSINESS - N/A

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9.4. Questions on Information Items

10. TERMINATION

MOTION : That Board of Governors meeting be terminated.

Open Board of Governors

Algoma University - Board of Governors

Nov 24, 2022 at 6:00 PM EST to Nov 24, 2022 at 7:30 PM EST

EW 205 – Doc Brown Lounge, SSM Campus / Virtual

Agenda

1. CALL TO ORDER

Presenter: Mike Moraca

- | | |
|--|----------------|
| 1.1. Acknowledgement of Traditional Territories | 6:00 PM |
| 1.2. Chair's Opening Remarks | 6:02 PM |
| 1.3. Declarations of Conflicts of Interest | 6:05 PM |

2. APPROVALS OF MOTIONS MADE IN CLOSED SESSION

6:06 PM

Presenter: Mike Moraca

MOTION: To approve the motions made in the Closed Session.

3. CONSENT AGENDA

6:07 PM

Presenter: Mike Moraca

MOTION: That all items listed under the 'Consent Agenda' be approved as recommended.

- 3.1. OPEN Agenda for Board Meeting**
- 3.2. OPEN Minutes for Previous Meeting**

4. REPORT FROM THE PRESIDENT

6:08 PM

[Simplebooklet version link.](#)

- | | |
|---|----------------|
| 4.1. Introduction of New Deans | 6:18 PM |
| <ul style="list-style-type: none"> • Dr. Michael Twiss, Dean of the Faculty of Science • Dr. William (Xiaojun) Wei, Dean of the Faculty of Business and Economics | |

5. PRESENTATIONS

5.1. Algoma University Equity, Diversity and Inclusion Climate Study Findings	6:23 PM
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Presenters: Jane Omollo, Equity, Diversity, and Inclusion Manager, Dr. Vivian Jimenez-Estrada, Associate Professor (Sociology) and EDI Academic Lead

Guest: Jonathan Williams & Naomi Nashimura (HESA)

5.2. Researcher of the Month: Dr. Nirosha Murugan	6:43 PM
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Presenters: Michele Piercey-Normore, Dr. Nirosha Murugan, Assistant Professor Biology & Tier II Canada Research Chair in Tissue Biophysics

6. BUSINESS ARISING - N/A

7. ITEMS FOR DECISION / DISCUSSION

7.1. Financial Policies Updates

6:53 PM

Presenter: Shannon Brooks

7.1.1. Procurement Policy

MOTION: That the Board of Governors approve the Procurement Policy as recommended by the Risk and Finance Committee.

7.1.2. Purchasing Card Policy

MOTION: That the Board of Governors approve the Purchasing Card Policy as recommended by the Risk and Finance Committee.

7.1.3. Travel, Meal and Hospitality Expense Policy

MOTION: That the Board of Governors approve the Travel, Meal and Hospitality Expense Policy as recommended by the Risk and Finance Committee.

7.2. Approval of Audited Statements of the Pension Plan

7:03 PM

Presenter: Kramer Rousseau

MOTION: That the Board of Governors approves the June 30, 2022 Pension Plan Financial Statements.

8. NEW BUSINESS - N/A

9. INFORMATION ITEMS

9.1. Internal Unaudited Financial Statements - August 31, 2022

9.2. Debt Review

9.3. Responsibility Centered Management Update

9.4. Questions on Information Items

7:13 PM

10. TERMINATION

7:18 PM

Presenter: Mike Moraca

MOTION: That Board of Governors meeting be terminated.



Open Board of Governors Minutes

Algoma University - Board of Governors

Sep 29, 2022 at 6:20 PM EDT

@ EW 205 - Doc Brown Lounge (SSM Campus) / Virtual

Attendance

Members Present:

Robert Battisti, Melanie Borowicz-Sibenik, Cecilia Bruno, Paul Dupuis, Kelli-Ann Lemieux, Rose Linklater, Mike Moraca, Dionisio Nyaga, Jake Pastore, Hugh Stevenson, Shannon Taylor, Mario Turco, Tim van Weerden

Members Present (Remote):

Arjun Batra, Sonja Kosuta, Jamie Lim, Elaine Pitcher, Taylor Sayers, Nina Trudeau, Asima Vezina

Members Absent:

Irene Barbeau

Guests Present:

Shannon Brooks, Karen Hudson, Brent Krmpotich, Brian Leahy, Michele Piercey-Normore, Brianne Pringle, Paul Quesnele, Kramer Rousseau

Guests Present (Remote):

Craig Fowler, Mary Wabano-McKay

External Guests Present (Remote):

Jeannette Hannah and Stephen Wier (Trajectory)

1. CALL TO ORDER (Presenters: Mike Moraca)

This meeting was called to order at 6:35pm.

1.1. Acknowledgement of Traditional Territories

We wish to acknowledge that we are on the traditional lands of the Anishinaabek Nation. We also acknowledge that we are on sacred lands set aside for education as envisioned by Chief Shingwauk for our children and for those as yet unborn.

1.2. Chair's and Vice Chair Opening Remarks

The Chair and Vice-Chair welcomed the new Governors and provided opening remarks focusing on the exciting time for Algoma University in terms of its incredible growth and opportunities, and the benefits of returning to in-person Board meetings with hybrid options.

1.3. Declarations of Conflicts of Interest

None declared.

2. APPROVALS OF MOTIONS MADE IN CLOSED SESSION (Presenters: Mike Moraca)

Motion:

To approve the motions made in the Closed Session.

Motion moved by Robert Battisti and motion seconded by Dionisio Nyaga. Carried.


3. CONSENT AGENDA (Presenters: Mike Moraca)

Motion:


That all items listed under the 'Consent Agenda' be approved as amended.

Motion moved by Shannon Taylor and motion seconded by Paul Dupuis. Carried.

3.1. OPEN Agenda for Board Meeting


 BOG - 29 Sep 2022 - Open Agenda.pdf

3.2. OPEN Minutes for Previous Meeting

 BOG - 23 Jun 2022 - Open Minutes.pdf

4. REPORT FROM THE PRESIDENT (Presenters: Asima Vezina)

[Simplebooklet Version](#)


 BOG - 29 Sep 2022 - President's Report: September 2022.pdf

A. Vezina presented the President's Report for September 2022, beginning with an overview of the successful return to on-campus activities. She then highlighted progress made on the six strategic priorities for the fiscal year 2022-23 in the areas of campus culture, vibrant programs, research and innovation, Anishinaabe inendamowin, institutional excellence, and equity, diversity and inclusion. The Board thanked the President for the report and recognized the many achievements and people across the organization that have contributed.

Melanie Borowicz-Sibenik exited at 6:57pm.

5. PRESENTATIONS

5.1. Anishinaabe Inendamowin

 BOG - 29 Sep 2022 - Open - Anishinaabe Inendamowin - Board Update.pdf.pdf

At the request of the Board, A. Vezina joined M. Piercey-Normore and C. Fowler to present an update with respect to Anishinaabe Inendamowin. M. Wabano-McKay (ill). They focused on Indigenous partnerships with numerous organizations provincially, nationally, and internationally, as well as the activities and efforts underway with respect to Indigenization and decolonization at the University. They went on to discuss FNMI student enrolment and chosen programming for such students, as well as the strategies in place related to FNMI recruitment, enrolment and retention. Furthermore, an overview was provided on the new Indigenous research policy and framework that was Indigenous led and co-developed by the University. Lastly, they discussed the important work underway by the Shingwauk Residential School Centre to support the Children of Shingwauk Alumni Association. The report finished with an invitation to the Board to participate in the events open to the public for the National Day for Truth and Reconciliation: Orange Shirt Day.


- 5.2. Algoma University Brand Refresh Launch (Presenters: Brent Krmpotich, Director of Recruitment and Strategic Enrolment, Brian Leahy, Director of Communications, Guests: Jeannette Hannah and Stephen Wier (Trajectory))

B. Krmpotich, B. Leahy, J. Hannah and S. Wier (Trajectory) presented the Algoma University Brand Refresh Launch outlining the process that resulted in the refreshed brand. They outlined the elements of the brand story, identity, presence, and experience. They advised that three main brand pillars emerged through the process to describe what makes Algoma University such a unique experience: intimate and personal, cross cultural leadership, and purpose driven impact. They showcased a refreshed video produced in line with this refreshed brand along with efforts for spreading consistent messaging and imagery to promote Algoma University around the globe. The Board thanked the team for their efforts in this major project.

6. BUSINESS ARISING

- 6.1. Sexual Violence Prevention on Campus (Presenters: Karen Hudson, Director of Student Success and Wellbeing, Brianne Pringle, Director of People and Culture)


 BOG - 29 Sep 2022 - Open - Sexual Violence Prevention on Campus.pdf

 BOG - 29 Sep 2022 - Open - Sexual Violence on Campus - Annual Report 2022 (September).pdf

K. Hudson, B. Pringle provided an overview of sexual violence prevention on campus and presented the Sexual Violence on Campus Annual Report for 2022. The Board expressed thanks to the teams involved in this important work in providing support to students in such sensitive and personal matters. They also discussed the trends year over year, and the impacts of anonymous reporting on providing direct service. Discussion ensued around circumstances that could allow for more targeted training and efforts to address potential gaps. Additionally, the Board discussed how sexual violence could be associated with other forms of racism and asked for this to be considered in the overall framework on equity, diversity and inclusion.

7. ITEMS FOR DECISION / DISCUSSION

7.1. Financial Performance: Draft Audited 2021-22 Financial Statements (Presenters: Kramer Rousseau)

 BOG - 29 Sep 2022 - Open - AU Draft Audited 2021-22 Financial Statements (full).pdf

K. Rousseau presented the Draft Audited 2021-22 Financial Statements for approval, advising that a clean audit opinion was provided by External Auditors, BDO Canada. He outlined that the total assets were \$181.9M, an increase of \$62.8M from the prior year; that total liabilities were \$144.8M, an increase of \$54.7M from the prior year; and that the excess of revenue over expenses (surplus) was \$14.2M compared to \$7.5M in the 2020-21 year (\$14.9M operating surplus, offset by \$677K reduction in fair market value of investments). Finally, the total net assets were \$37.1M compared to \$27.5M in the prior year. The Board thanked the management team for their efforts in the tremendous change over a short period of time.

Motion:


That the Board of Governors approves the Draft Financial Statements for the year ended April 30, 2022.


Motion moved by Robert Battisti and motion seconded by Kelli-Ann Lemieux.
Carried.

8. NEW BUSINESS - N/A

9. INFORMATION ITEMS

- 9.1. 18-Month Status Reports - Psychology, Social Work, Political Science (Presenters: Michele Piercey-Normore)

 BOG - 29 Sep 2022 - Open - Psychology 18 month status report.pdf

 BOG - 29 Sep 2022 - Open - Social Work 18 month status report.pdf

 BOG - 29 Sep 2022 - Open - Political Science 18 month status report.pdf

- 9.2. Questions on Information Items

None.

10. TERMINATION (Presenters: Mike Moraca)

Motion:

That Board of Governors meeting be terminated.

Motion moved by Dionisio Nyaga and motion seconded by Shannon Taylor. Carried.

The meeting was terminated at 7:45pm.

**PRESIDENT'S
REPORT**
NOVEMBER 2022



THE PRESIDENT'S MESSAGE

The integration of cross-cultural learning opportunities and EDI into every aspect of our operations is a key differentiator that is beginning to set Algoma University apart from many other universities across the globe. Today, the University has students from more than 60 countries, a strong Indigenous presence, a considerable number of 2SLGBTQQIPA+ students and employees, a sizable number of Black students and employees, a strong contingent of first generation domestic students, multilingual students and employees, and students and employees of many different religious and spiritual faiths. From their interactions, both inside and outside of the classroom, our students and employees are experiencing what it means to authentically engage in cross-cultural teaching and learning. Thank you to those who are making extraordinary efforts to ensure we have opportunities to learn from and with each other in a safe, welcoming and inclusive environment.

This month student leaders shared and organized Diwali celebrations. We had the opportunity to make ribbon skirts at Shingwauk Kinoomaage Gamig, experience sunrise and water ceremonies through the support of SASA and other Anishinaabe partners, and many of us had extensive training on land acknowledgements. We had students travel to Belgium to participate in research with Health Science students from Thomas More University. We enjoyed stories from students who attended an international food conference in Italy focused on slow cooking and sustainable food traditions from around the world. Thanks to the hard work of many, we signed new agreements in India, Sri Lanka, Kenya, Nigeria and Colombia. We will continue to support our university community, our students, staff and faculty, to participate in these globally and culturally rich life-changing experiences.

While in Ottawa at the Universities Canada fall membership meetings earlier this month, the President's office coordinated meetings with a number of senior government officials to build further understanding and support for the work we are doing. Irene Barbeau, President of the Children of Shingwauk Alumni Association (CSAA), and I were able to meet with the team at the Settlement Agreement & Childhood Claims Branch of the Crown-Indigenous Relations Department. While there, I also met with Northern Affairs Canada, to build understanding and commitments to the Survivor community and Shingwauk Residential Schools Centre in their truth-telling work specific to the *Reclamation of Shingwauk Hall Exhibit*. With our feasibility study now complete, it was timely to meet with the Senior Policy Advisor and other representatives of the Federal Office of the Minister of Mental Health and Addictions and Associate Minister of Health to share our aspirations to build a Mental Health and Addictions Research and Training Institute.

Earlier in the month we reconvened with the Canada Pakistan Business Council and the Akhuwat Foundation to further explore how, together, we might provide underprivileged students from Pakistan with an international University learning experience. The Foundation's vision is to end poverty and they are

Seven Grandfather Teachings

LOVE AND
KINDNESS

RESPECT

BRAVERY

WISDOM

HONESTY

TRUTH

HUMILITY

"Coming together is a beginning. Keeping together is progress.

Working together is success." – HENRY FORD

creating a de-westernized approach to doing so, building off old and ancient teachings centered in this rejuvenated world-view. We expect the first cohort of students to arrive at Algoma, on our Sault Ste. Marie campus, this Spring. Thank you to the CESD department for providing this experience.

In November, we welcomed MPP's Williams, McGregor, Grewal and Sandhu as well as our new friends from the Sikh Senior's Group, to our quickly expanding Brampton campus. Our distinguished guests toured, interacted with students and staff/faculty, and shared in the celebration of our growth to 3000 FTE in the city's downtown core. Hard to believe we had less than 100 FTE only four years ago.

November also marked my first visit to India where I was able to connect with select academic institutions as well as other key partners, government officials and media. While there, we signed an MOU with Chandigarh University, one of the best Universities in the region recognized world-wide for their outstanding programming, research and innovation. A highlight of my trip was hosting students and their families in Amritsar and Kerala; learning their stories and experiences. While there, I also made stops in New Delhi and Kochi (Cochin) to strengthen relationships with existing partners while discussing space expansion, academic programming opportunities, and exploring new pathways. India is truly an incredible country and I look forward to continuing to develop and further relationships and our presence over there.

As the Fall term comes to a close, momentum continues on the development of our NEW Strategic Plan. As we move into the stakeholder consultation phase, I encourage everyone to find a way to share their thoughts through the planned focus groups, circles, interviews and surveys Co-Chairs – Dr. Meades and Dr. Piercy-Normore are planning.

Finally, Algoma Alumni continue to make significant leadership contributions in a range of capacities. I want to personally congratulate Matthew Shoemaker (BA, Poli/Hist), on being elected Mayor of Sault Ste. Marie. At least five members of his Council are also alumni or have completed a large portion of their undergraduate studies at Algoma. I also wish to extend a note of congratulations to Patrick Brown on being reelected as Mayor of Brampton and to Michelle Boileau on becoming the new Mayor of Timmins.

Chi-Miigwetch to everyone who continues to play a part in this exciting chapter of our history. I extend best wishes to all for peace, good health, happiness and prosperity as we shift into the traditional Canadian holiday season leading into the new year.

Best,



Asima Vezina, President and Vice-Chancellor



Thunderbirds protecting Thunderbirds – Thunderbirds protecting Communities!

PRIORITY 1

Campus Culture

A dynamic hub for community and student life with spaces and activities that support inspired and engaged learning and a strong sense of pride. This strategic direction will be achieved in close collaboration with student leadership to ensure all decisions reflect students' needs.

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2021-22 Key Metrics/Areas of Focus

- ▶ Algoma University is a dynamic hub for community and student life
- ▶ Members of the Algoma University and broader community have a strong sense of pride in their institution
- ▶ Members of the Algoma University community are engaged and inspired in their studies, work, and extracurricular activities
- ▶ Algoma University promotes a culture of internationalization

What We've Accomplished...



**IN-PERSON
Trick-or-treat
RETURNS**



Increased student supports through
STUDENT SUCCESS CENTRAL



- First university in Canada to launch Tailwind, a health and wellness transition support that aims to prepare incoming and returning students for the mental stresses of their academic journey and enhance the 24/7 holistic student wellness approach model
- Return of in-person counselling sessions in Brampton and Timmins
- Increase investment in direct student support through Student Success Central with additional advisors and two new Student Success Navigators
- Successful Diwali celebrations in both Brampton and Sault Ste. Marie, draws over 400 total participants
- Return of in-person community trick-or-treat event results in the donation of over 600 non-perishable food items for Student Food Pantry and approximately \$1,500 in donations for the CSAA and the Pantry
- Thunderbird wrestling team brings home two medals at McMaster Invitational
- Successful Alumni Celebrations in Timmins and Brampton further build relationships between the University and its growing alumni family

What's Next?

- Launch of Algoma Safe App
- Increase wellness support through a partnership with Greenspace
- Complete a multi-year, tri-campus master plan to develop, expand and foster a dynamic hub of community and student life informed by Strategic Enrolment Management and academic planning initiatives
- Currently finalizing RFP for development of campus master plan in Brampton
- Further position Algoma U as a globally engaged university including increasing exchange partnerships (student, faculty, research) and developing a revised Internationalization Strategy



PRIORITY 2

Vibrant Programming

An integrated suite of academic programming that is current, relevant, attractive, and aligned with students' expectations.

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2021-22 Key Metrics/Areas of Focus

- ▶ Algoma University is a leader in teaching excellence
- ▶ Algoma University characterizes and distinguishes itself through the realization of its Special Mission
- ▶ Algoma University has an integrated suite of relevant programming that is linked to the broader communities

What We've Accomplished...

NEW ARTICULATION AGREEMENTS WITH



**SAULT
COLLEGE**

Social Service Worker
diploma program to the
Bachelor of Social Work

.....

**Social Service Worker
(Indigenous Specialization)**
diploma program to the
Bachelor of Social Work

Approved
NEW
Beginning
MAY 2023

Bachelor of Social Work
degree program onsite at

OSHKI WENJACK

Indigenous Institute in Thunder Bay

NEW

**Manager, Experiential Learning and
Strategic Initiatives and Coordinator,
Career Development**

HIRED TO ENHANCE EL PROGRAMMING

- Approved articulation agreements with Sault College in the following areas:
 - Social Service Worker (SSW) diploma program to the Bachelor of Social Work
 - Social Service Worker (SSW - Indigenous Specialization) diploma program to the Bachelor of Social Work
- Approved the delivery of the Bachelor of Social Work degree program onsite at Oshki Wenjack (Indigenous Institute in Thunder Bay, Ontario) beginning in May 2023
- Approved the removal of the professional years admissions process (from year 2 to year 3) of the Bachelor of Social Work program, leading to an anticipated increase in enrolment and improved access to higher years of the program
- Approved the offering of the Bachelor of Arts in Community Economic and Social Development (3 and 4 year) degree program for direct from high school students in Brampton for the next academic year (2023-2024), thereby increasing access to the program and potentially contributing to an increase in program enrolment
- New Manager, Experiential Learning and Strategic Initiatives and Coordinator, Career Development in place to enhance EL related programming

What's Next?

- Creation of retention dashboard for reporting relevant term-over-term and year-over-year data for planning purposes and improved decision making
- Establishing training framework for front-facing staff to further support diverse student groups
- Advance development and approval of two master's degrees for Fall 2023 intake of inaugural classes
- Hiring of the new Director of Teaching and Learning in preparation for the Fall 2022 launch of the new Centre for Teaching and Learning
- Additional full-time faculty to support expansion of academic programming
- Establishing graduate policy, regulatory and student and faculty support framework
- CityStudio Sault Ste. Marie HUBBUB Virtual Project Showcase (Dec 8)



PRIORITY 3

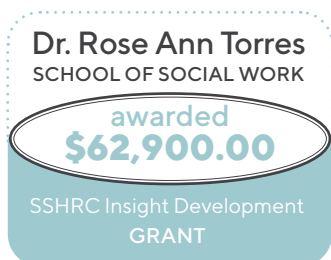
Research and Innovation

A culture of research and innovation that leverages existing strengths and produces an exceptional student experience while engaging with our campus communities and contributing to their sustainability.

2021-22 Key Metrics/Areas of Focus

- ▶ Algoma University capitalizes on scholarship, research and creative production to enhance student learning, support faculty growth, and contribute to local and regional social, cultural and economic development
- ▶ Algoma University cultivates a culture of research and innovation among all members of the university community

What We've Accomplished...



DR. NIROSHA MURUGAN

appointed Tier II Canada
Research Chair in



obtained a
Canada for Innovation

Tissue Biophysics
in new developments
for cancer therapy

**John R. Evans
Leaders Fund**
for lab infrastructure

- **Dr. Nirosha Murugan** has been appointed Tier II Canada Research Chair in Tissue Biophysics to support her innovative research program that invites new developments for cancer therapy. She was also successful in obtaining a Canada for Innovation – John R. Evans Leaders Fund for infrastructure for her research lab. With both of these designations, Dr. Murugan will be awarded a total of \$674,984 from the Government of Canada.
- Strategic Research Plan (SRP, 2022-2027) approved by Senate (Oct 2022)
- Multidisciplinary working groups established to support the development of the Indigenous Research Policy and Framework
- **Dr. Rose Ann Torres**, Director and Assistant Professor in the School of Social Work awarded a SSHRC Insight Development Grant in the amount of \$62,900.00 for her study on *“Examining Access to Mental Health Care Service: The Impact of COVID-19 on Filipino Health Care Workers in Northern Ontario”*
- Researchers from the **School of Life Sciences and the Environment** have recently applied for three NSERC RTI, two CFI-JELF, two NSERC Discovery grants, one Canada Research Chair (Tier II) grant, one SSHRC Institutional Grant, one CIHR Project Grant, one Society of Experimental Biology grant and one Ontario Stem Cell Network Grant. All projects are currently under review
- [Numerous faculty publications](#), research papers, presentations and other scholarly activity in a range of subject areas

What’s Next?

- Expansion of the Office of Research and Innovation (ORI) to include additional support for AU researchers and research policies and processes
- Further development of an Indigenous Research Policy and Framework
- Algoma U Professional and Continued Education and School of Computer Science and Technology to launch National Centre of Excellence in partnership with Unity (Dec 2)
- Algoma U, Toronto Metropolitan University, the Rogers Cybersecure Catalyst and the PUC to host cybersecurity talent strategy workshop (Dec 7)
- Dr. Nirosha Murugan and student leaders to host “TEDx Algoma U- Free Your Genius” event (Dec 7)



PRIORITY 4

Anishinaabe Inendamowin

A recognized leader in cross-cultural sharing, healing and learning through collaborative efforts in decolonizing the university's policies, procedures, pedagogy in fulfilment of our Special Mission.

2021-22 Key Metrics/Areas of Focus

- ▶ Algoma University is recognized as a leader in Anishinaabe learning in Canada
- ▶ We are responding to the Calls to Action with strategic focus in curricula, policies, research, cross-cultural teaching and learning, community partnerships, health, land stewardship, and governance

What We've Accomplished...



NEW HIRE!

Anishinaabe Student Success and Cultural and Social Events Program Coordinator

- Expanded AARC outreach in Timmins region (Mattagami, City of Timmins, District School Board Ontario North East)
- National Day for Truth and Reconciliation (Orange Shirt Day) events in Sault Ste. Marie, Brampton and Timmins very well attended (Sept 30)
- Unveiling of [new Ontario Heritage Trust plaque](#) at Shingwauk Hall first of many across the province to be updated to reflect Indigenous history
- Resumption of Shingwauk Hall Historic Residential School tours
- Hiring of Anishinaabe Student Success and Cultural and Social Events Program Coordinator
- Successful Anishinaabe Student Welcome Week (Sept 19 - 23)
- Faith Day – Huron-Superior District Catholic School Board partnership (Sept 23)

What's Next?

- Continued implementation of Calls to Action identified in Honouring our Commitment
- Finalization of community facing publication outlining comprehensive decolonization efforts within the University
- Further development of research framework and programming for Mukwa Waakaa'igan
- Mukwa Waakaa'igan – detailed functional design, pre-construction planning and budget development
- Brampton campus AARC Recruitment Day event in partnership with Peel District School Board and Dufferin-Peel Catholic District School Board (Nov 30)
- Expanded Brampton community outreach (Mississaugas of the Credit First Nation, Indigenous Network-Peel)
- Official launch of Shingwauk Voices Podcast (Dec 2022)
- Development of expanded AARC Viewbook
- Promotion, outreach and delivery of the Gabegendaadowin Training program (Timmins, Brampton, Sault Ste. Marie)



PRIORITY 5

Institutional Excellence

Institutional excellence is a university-wide commitment involving students, employees, communities aligned in the spirit of continuous improvement, institutional effectiveness, organizational resilience and strong leadership resulting in long term financial sustainability.

2021-22 Key Metrics/Areas of Focus

- ▶ Community: People and Culture
- ▶ Organizational Alignment
- ▶ Generation of New Revenue Streams
- ▶ Increase Brand Awareness

What We've Accomplished...



RECORD
\$50,000
raised during **SOLD OUT**
2022 John R. Rhodes Scholarship
Dinner honouring **Diane Marshall**



- Successful launch on refreshed branding during Ontario University Fair – record 1,600+ leads generated from prospective students
- LEAN status for Finance and Facilities
- Administration employee benefit refresh to better support mental and physical health
- Algoma U joins organizations across Canada, benefiting from Perkopolis – providing 5000 different discounts for all of our employees
- Tee Komsa appointed new Chair of the Algoma U Alumni Council
- Record \$50 thousand raised during sold out 2022 John R. Rhodes Scholarship Dinner honouring Diane Marshall and this year's scholarship recipient, first-year Sociology student, **Abigail Hamilton**

What's Next?

- For the first time ever, Algoma is participating in the Giving Tuesday movement (Nov 29). The Department of Advancement and Alumni Affairs has organized an internal campaign to support a newly created student relief fund.
- Roll out of next phase of RCM budget model (training sessions and stakeholder consultations)
- Hiring of Director of Institutional Effectiveness to further support data informed decision making across the University
- Stakeholder consultations to support development of new Algoma University Strategic Plan to commence in late November
- Development of Brampton Campus Master Plan
- Further expansion of Professional and Continuing Education portfolio including development of suite of programming, marketing strategy and operational structure
- Development of new multi-year marketing strategy
- RFP for consulting services to finalize development framework for People Strategy including implementation strategy
- Next phase of Timmins campus expansion planning
- Finalization of Alumni Strategic Plan (2022-2025)



PRIORITY 6

Equity, Diversity and Inclusion

EDI values are embedded across the organization to fulfil Algoma University's commitment to undoing systemic and institutional discrimination and to be publicly transparent and accountable.

2021-22 Key Metrics/Areas of Focus

- ▶ Develop an EDI institutional accountability framework
- ▶ Foster EDI in Research, Teaching and Learning
- ▶ Commit to incorporating EDI into policies, processes and procedures

What We've Accomplished...

COMPLETED **4** **PILOT**

Unconscious Bias Workshops
helping to inform Algoma's specific
EDI TRAINING STRATEGY

1st of three

**CANADIAN RACE RELATIONS
FOUNDATION (CRRF)**
Anti-Racism Training
WORKSHOPS COMPLETED

HESA Higher Education Strategy Associates

presents
EDI Climate Study
findings to
**ALGOMA UNIVERSITY'S
BOARD OF GOVERNORS**

► ***Develop an EDI institutional accountability framework***

- Higher Education Strategy Associates (HESA) presentation of the work plan within the EDI Strategic Plan to both the EDI committee and Senior Executive teams
- HESA presentation of the EDI Climate Study Findings to the Board
- EDI appreciation event hosted at the Sault Ste. Marie campus as well as appreciation for members from the Timmins campus
- Completed the first of the three workshop series of the Anti-Racism Training facilitated by the Canadian Race Relations Foundations (CRRF)
- Completed four pilot Unconscious Bias Workshops that will inform Algoma's specific EDI training strategy

► ***Foster EDI in Research, Teaching and Learning***

- IEDI Ad Hoc Committee of the Senate updates

► ***Commitment to incorporating EDI into policies, processes, and procedures***

- Name Change Policy to be reviewed by SE

What's Next?

- Refining of AlgomaU specific EDI foundational training (unconscious bias training module; Anti-Racism training module and Human Rights training module)
- Upcoming Anti-Racism training workshops facilitated by CRRF in the Winter and Spring semesters
- Official launch of the EDI training deepened unconscious bias training HESA's ongoing work on the development and finalization of:
- Tri-campus EDI Strategy and multi-year Action Plan to support EDI requirements of the Canada Research Chairs program
- Collaborative creation of EDI framework guide and resources for individual units to tailor and implement EDI strategies and actions to advance the University's Special Mission rooted in and informed by EDI principles
- Comprehensive review of work to embed EDI in prioritized AU policies and processes
- Ongoing EDI education and training in inclusive pedagogy and awareness including commitment to support and promote the important work of Pride at Work Canada





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Algoma
UNIVERSITY



2021-2022 Equity, Diversity and Inclusion Climate Study Findings

OPEN AGENDA

Meeting Date: November 24, 2022
Action: Discussion and Approval

PREPARED BY:

Jane Omollo, EDI Manager; Dr. Vivian Jimenez-Estrada, Associate Professor (Sociology) and EDI Academic Lead

PURPOSE OF REPORT

Higher Education Strategy Associates to present the EDI Climate Study Findings.

RELATED DOCUMENTS

1. [Algoma University \(AU\) 2021-2023 Strategic Plan Extension](#)
2. AU EDI Climate Study Summary Report
3. HESA Slide Deck Presentation

STRATEGIC PRIORITY ALIGNMENT

Objective # 6: Equity, Diversity and Inclusion: Establish Baseline Data to inform the development of AU's Institutional accountability framework

BACKGROUND

As an institution moving towards healing, reconciliation and creating safety, Algoma University has developed a more robust EDI portfolio initially spearheaded by the President's Office. This builds on external commitments such as the [New Principles on Indigenous Education](#), leading to AU's response to the TRC's Calls to Action in 2015 and aligned with the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). AU's response and commitment to this important work is as outlined in [Honouring Our Commitment](#).

The endorsement of other important commitments to EDI such as [Equity, Diversity and Inclusion Dimensions Charter](#) and [Universities Canada's Principles on Equity, Diversity and Inclusion](#) and the 2021 [Scarborough Charter](#) on Anti-Black Racism and Black Inclusion in Canadian Higher Education have provided important foundation for our EDI commitment as outlined in the University's [2021 - 2023 Strategic Plan Extension](#) and the [2021-2026 Academic Plan](#) and in accordance to the University's [EDI Charter](#).

To deliver on all these commitments, AU commissioned Higher Education Strategy Associates (HESA) in late June, 2021 to conduct a comprehensive EDI Climate Study that includes an environmental scan, employment systems review and a comparative review to provide an evidence based approach to this important work. Together these commitments ensure EDI values are embedded across the organization to fulfil Algoma University's commitment to undoing systemic and institutional discrimination and to be publicly transparent and accountable.

Phase 1: Interviews

During the first phase of its work, HESA interviewed 15 institutional representatives in EDI related leadership roles, exploring high-level questions to help HESA understand the context of EDI at Algoma University. HESA also conducted a literature review and environmental scan that explored factors behind inequities in admission and retention/attrition, as well as employment practices, across Canadian higher education institutions to place Algoma University's challenges and efforts in context.

Phase 2: Interviews, Listening sessions and Surveys

Seventy-eight individual interviews engaged employees (32), students (28), and community partners (18). The faculty and staff included senior executives, academic leadership, directors/managers, the research group, and union and board members, as well as other persons actively involved in admissions and retention efforts, or human resources, processes and policies. 212 employees and 417 students responded to the surveys, for respective response rates of 47% and 12%.

Phase 3: Research Findings and Recommendations

HESA provided a complete report of its research findings, offering 51 recommendations to help Algoma University develop an evidence-based EDI action plan that will include accountability frameworks, the review and revision of



relevant policies, and the development of new policies and processes. Algoma University continues to address the gaps in services from an EDI lens, while working to advance the work identified in the recommendations of the EDI Climate Study. Our EDI journey will continue over three years with a multi-pronged approach. While we have made significant progress, we are committed to the ongoing work to create safe, inclusive and equitable spaces across the entire university.

FUTURE STATUS: Recommended Next Steps for Algoma University

STRATEGIC ACTIONS

a. Set Goals and Measure Performance:

Maintain and enhance Equity, Diversity, and Inclusion as a pillar in the University's next Strategic Plan. Establish a requirement to evaluate performance relative to this pillar at key milestones and at the end of the planning period. Developing an EDI Action Plan that clearly demonstrates Algoma University's Special Mission in cross-cultural learning, responds to the EDI requirements of the Canada Research Chairs program, and is informed by good practice at other institutions. This multi-year institutional EDI Action Plan will support, guide, and enhance the institution's efforts in decolonization, Indigenization, and reconciliation as identified in 'Honouring our Commitments'. A mandated institutional training strategy is in development. The strategy's goal is to increase capacity to measure institutional performance in terms of equity, diversity, and inclusion outcomes across all departments.

b. Plan Actions and Report on Progress:

The strategic actions set above will establish a framework of transparent equity, diversity, and inclusion action plans, with associated budgets and related reporting. In addition to the institutional EDI strategy and Action Plan, each department across the organization will establish key performance indicators in EDI (including specific data and metrics) which are linked to points in the Action Plan, and instruments such as a pulse survey to gather data for these indicators.

To maintain effective communication pertaining to these important institutional initiatives, the creation of an Equity, Diversity, and Inclusion web page will be implemented to share data, plans for actions, and information on community activities and ways to get involved, along with reporting on KPI'S related institutional strategies.

TRANSVERSAL ACTIONS

a. Strengthen Structures for EDI

AU's institutional commitment to embed equity, diversity and inclusion to foster a welcoming environment across all three campuses requires the transversal application of EDI values to create a culture shift towards institutional inclusion and excellence. Strengthening the structures for EDI requires the review of institutional governance, and institutional policies and procedures from an EDI lens to create transparency and accountability for key offices and employees. Critical to this is the development of an EDI best practices guide for recruitment and retention of Algoma University faculty and staff. A best practice guide ensures effective communication and prevents duplication and overburdening in the application of EDI frameworks in all job descriptions, policies and procedures.

b. EDI Office:

Leading EDI work across the university requires adequate staffing and resources to ensure effective implementation. The Climate Report also provided recommendations to address complaints effectively including the creation of an ombudsperson capacity to alleviate the need to hire outside consultants or retain legal counsel for these circumstances and to ensure timely response.

c. Ongoing support for EDI leaders

EDI work cannot happen without leaders in the AU community. This requires recognizing and valuing their volunteer work and the provision of adequate support for all resource groups. One important recommendation from the Climate Study is to Introduce EDI-related awards for faculty, staff and students and celebrate their important contributions.



**Higher
Education**
STRATEGY ASSOCIATES

Equity, Diversity, and Inclusion Climate Study

Summary Report

Prepared for Algoma University

September 2022





Higher Education Strategy Associates (HESA) is a Toronto-based firm providing strategic insight and guidance to governments, postsecondary institutions, and agencies through excellence and expertise in policy analysis, monitoring and evaluation, and strategic consulting services. Through these activities, HESA strives to improve the quality, efficacy, and fairness of higher education systems in Canada and worldwide.

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Work completed on behalf of: Algoma University

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Any errors or omissions are the authors' alone.

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Introduction

Algoma University is a Canadian public university with three campuses located in Sault Ste. Marie, Brampton, and Timmins. With its main campus being located on the former Shingwauk Residential School site, Algoma University has a Special Mission to be a teaching-oriented university and cultivate cross-cultural learning between Aboriginal communities and other communities. In line with its Special Mission, Algoma University is committed to reconciliation, creating safety for its community members, and increasing equity, diversity, and inclusion (EDI) for all its students and employees.

In July 2021, Algoma University contracted Higher Education Strategy Associates (HESA) to conduct the institution's first Equity, Diversity, and Inclusion Climate Study. The study aimed to generate a demographic profile of the employee and student populations, to identify inequities in employment and student success, and to propose steps to remedy these inequities.

During the first phase of its work, HESA interviewed 15 institutional representatives in EDI related leadership roles, exploring high-level questions to help HESA understand the context of EDI at Algoma University. HESA also conducted a literature review and environmental scan that explored factors behind inequities in admission and retention/attrition, as well as employment practices, across Canadian higher education institutions to place Algoma University's challenges and efforts in context.

In the second phase of its work, HESA conducted a mix of interviews and discussion groups. Seventy-eight individual interviews engaged employees (32), students (28), and community partners (18). The faculty and staff included senior executives, academic leadership, directors/managers, the research group, and union and board members, as well as other persons actively involved in admissions and retention efforts, or human resources processes and policies. HESA also facilitated listening sessions with the EDIC working groups, consulting nine people in total. Additionally, HESA collected data through diversity and experience surveys of employees and students. These surveys measured the demographic composition of Algoma University's employee and student populations and gauged their perceptions of the EDI climate. In the end, 212 employees and 417 students responded to the surveys, for respective response rates of 47% and 12%.

In the final phase of its work, HESA provided a complete report of its research findings and offered recommendations to help Algoma University develop an evidence-based EDI action plan that will include accountability frameworks, the review and revision of relevant policies, and the development of new policies and processes. Algoma University has embarked on its EDI journey with a multi-pronged approach and has made progress, though there remains considerable work to be done.

As part of our research approach, we sought to include as many voices as possible to reflect the diversity of Algoma University's communities across its three campuses. Part of that effort entailed keeping surveys open for a longer period as well as developing new initiatives to recruit more student interviewees. Nevertheless, we recognize that there are some key limitations in our sampling that may inform our research findings.

On the student side, the student survey participation rate was 12%. While this rate is low, it remains consistent with the participation rate of other universities' EDI climate studies, such as Brock University which had a 14% participation rate (Rankin and Associates Consulting, 2020). Moreover, the responses from more than 417 students who did participate in combination with the 28 one-on-one student interviews provide us a better understanding of the EDI climate than previously available. In assessing the EDI climate, we focus on populations with larger samples to try to maintain some level of rigour. Still, there are some groups within the student population which are less numerous for which our data may be particularly limited. This includes our sample of two-spirited, non-binary, and trans students, thereby creating challenges for capturing the nuances of these students' experiences.

On the employee side, we spoke with many employees who are part of equity-deserving groups who have experienced a burden of representation within and beyond this study. We recognize that they cannot speak for the totality of equity-deserving groups that they identify with as this would irresponsibly homogenize all the experiences of members of equity-deserving groups and erase any intersectional differences in experiences of social power.

The present state of equity, diversity, and inclusion

Survey findings indicate that Algoma University is a diverse community. Students come from more than 60 countries, as international enrolments have expanded dramatically with a transformative impact on the University as a whole. The University has a strong Indigenous presence, a considerable number of 2SLGBTQQIPA+ students and employees, a strong contingent of first-generation students, multilingual students and employees, and students and employees of many different religious and spiritual faiths. It appears clear that diversity has been increasing, not only in terms of students but also when it comes to staff and faculty. For more information on the demographic composition of the Algoma University community, see two infographics at the end of this document.

In general, most members of the Algoma University community feel a sense of belonging and feel that the University is supporting their success. However, there are gaps in these results based on characteristics such as gender, ethnicity, international/domestic status, Indigeneity, (dis)ability, sexuality, and first-generation status. Perhaps of greatest concern, students are more likely to report having experienced “exclusionary, intimidating, offensive or hostile conduct that has interfered with the ability to learn, live or work at Algoma University”, or to indicate that they “seriously considered leaving without completing [their] program of study”, based on many of these same demographic traits. On the employee side, the greatest concerns are among full-time faculty, who also are most often cited as engaging in “exclusionary, intimidating, offensive or hostile conduct,” especially among employees. Algoma University has room to improve when it comes to providing an equitable and inclusive environment for all community members.

Programs and services for students appear reasonably strong and strengthened in recent years. Most students consider that the university provides “enough” support resources, although there are some differences based on demographic characteristics. Most

students also believe that they learn about EDI, as well as reconciliation and human rights, while at the University.

The Algoma University community considers that the university is still in the early stages of its EDI work. Many community members have noted positive strides in recent years, bolstered by expanded capacity. Still, there are widespread concerns regarding the burdens placed on some staff members from equity-deserving communities in advancing EDI at the institution, as well as ongoing challenges in ensuring that buy-in is as broad and deep as intended. There is considerable scope to improve training regarding EDI among employees, as presently training is limited and tends to most reach those already reasonably informed and bought-into EDI.

The employment systems review

The Employment systems review can be broken down into five parts: recruitment and hiring; pay equity analysis; faculty promotion, tenure, recognition, and development; training, development and promotion for non-academic staff; and retention, termination and retirement. Broadly speaking, the Department of People and Culture has grown and strengthened in recent years in ways that touch on a host of different dimensions discussed in the report, though there remains important scope for improvement in this Department's activities. Where the Department is less involved, as in academic processes, processes are generally more inequitable.

Note that Algoma University approved its new *Policy on the Establishment of University Policies and Procedures* in March 2022. It requires that University (administrative) Policies be "considerate of the Indigenous, Equity, Diversity and Inclusion (IEDI) Resource for Policy Development, and peer-reviewed by two members of the Academic Leadership Team from an IEDI lens". Policies must be reviewed every five years. Additionally, the *Policy on Policies* indicates that leadership team members will receive relevant annual training. Algoma is completing a systematic EDI review of its policies, including collective agreement clauses along with its union locals. These processes set the University on a positive path towards enhancing many elements addressed in this ESR, although not yet those elements relating to academic policies.

Algoma University has been working to increase the diversity of its employees, and to improve its recruitment and hiring processes accordingly. Many of these improvements have occurred through informal changes in practices, and not been formally enshrined in policy. The greatest challenges centre on academic hiring, where hiring committees may not be sufficiently trained in general, or otherwise guided, to follow best practices that ensure equitable recruitment and assessment of candidates. In general, the University lacks formal strategies and policies to guide proactive recruitment of diverse talent.

There are pay inequities at Algoma University by gender. These are arguably most problematic among support staff and other administrative staff. Among non-managers, we found that male-identified employees earned approximately CAD 2,000 more than female-identified employees who were hired at the same time, although we cannot account for differences in qualifications for roles which may contribute to these differences. Gaps among managers and directors are harder to assess – there may be a

particular problem among directors, but differences in time served makes it difficult to gauge the extent to which seniority drives differences. Among full-time faculty, there appear to be wage differences even after controlling for seniority and rank (not controlling for seniority, the wage differences are still more substantial). However, these differences largely reflect historical patterns, and pay for faculty hired since 2009 has been far more equitable.

When it comes to faculty promotion, tenure, recognition, and development, there are few policies or practices in place at Algoma University to ensure equity and inclusion. Peer review largely drives these processes, but there are almost no instruments in place to ensure that peer review accounts for EDI considerations. There are special concerns about ensuring the work of scholars of diverse backgrounds, and especially Indigenous scholars, is not undercut by Eurocentric bias. More informal recognition at least appears to be reasonably inclusive, although perhaps not due to any plan or policy. In terms of training, development, and promotion of non-academic staff, we found limited indications of inequities – groups we might consider equity-deserving often responded more positively in the staff survey for instance.

Finally, there are inequities amongst Algoma University employees in terms of retention and termination. This is inherent in the Canadian university model, where faculty enjoy very strong job protections, other full-time staff still have significant job security, and part-time contract faculty work on very short-term contracts. The extent of part-time contract instruction, and the working conditions for these employees, is the most obvious area for focus in terms of enhancing equity of working conditions in this area. Job protections for full-time faculty against layoff with cause may create a culture of impunity for misconduct, which is not of specific concern at Algoma University so much as relevant across academia. More positively, job protections for faculty against layoff without cause, in the event of exigency or redundancy, are somewhat less inequitable at Algoma University than at many comparator institutions. Retirement conditions are also reasonably equitable for employees at Algoma University. As a last note, interviewees suggested that Algoma University has had difficulty specifically retaining employees from equity-deserving communities, although related concerns are not apparent in survey data (which has important limitations related to sample sizes).

Recommendations

Algoma University has embarked on significant work to enhance EDI. From our research, we can offer recommendations to further advance this work and position Algoma University as a leader in its communities and across Canada. We will first outline recommendations to build a strategic framework for these efforts, and then specific actions to tackle challenges identified in our research.

Strategic framework

Algoma University requires a strategic framework for its efforts to enhance EDI, so that it can establish goals, identify steps to achieve these goals and measure its performance. At present, Algoma University has extended its 2016-2021 Strategic Plan to 2023, and in

doing so the university added EDI as a sixth pillar. Our recommendations in this section align with this direction and aim to help the university prepare for its next Strategic Plan.

- **Maintain Equity, Diversity, and Inclusion as a pillar in the University's next Strategic Plan and establish a requirement to evaluate performance relative to this pillar at the end of the planning period.** Without prescribing an overall approach to strategic planning for the university, with respect to an EDI pillar we would recommend that the Strategic Plan emphasise the goals that Algoma wishes to realise rather than specific activities. The Strategic Plan should indicate what it would mean for Algoma to be equitable, diverse, and inclusive in the ways in which it might aspire.
- **Develop capacity to measure institutional performance in terms of equity, diversity, and inclusion outcomes. A genuine commitment to enhancing EDI must be accompanied by efforts at measurement.** Otherwise, the University will not be able to gauge the success of its initiatives, or effectively identify areas for further improvement. We recommend firstly that the University introduce annual student and staff demographic surveys. We would also recommend that the University introduce periodic EDI environment surveys, building and improving upon the surveys conducted for this study. These surveys might be completed perhaps every three years, say at the midpoint and end of each strategic planning cycle to be able to measure progress on EDI goals. Bringing together these data sources, we would recommend that the University then set targets for achievement on different outcomes measures it would be able to track. These targets could be embedded in the Strategic Plan to operationalise its goals or be identified in an appended document. Implementing such a structure would almost certainly require added capacity within the University for data collection, analysis, and divulgation.
- **Establish a structure of transparent equity, diversity, and inclusion action plans, with associated budgets and related reporting.** We recommend that the University develop annual or multi-year EDI Action Plans. These action plans would indicate specific activities to undertake or policies to adopt, identify specific managers or other institutional leaders responsible for implementation, and the target date for implementation. Additionally, where relevant they would commit a budget to supporting these activities which is adequate for their achievement. We would further recommend that these action plans be complemented by reporting structures to measure performance on goals.
- **Create an Equity, Diversity, and Inclusion web page to share data, plans for actions, information on community activities and ways to get involved, and reporting on results.** One part of the website could share demographic data from the student and employee surveys, in such a manner so as to protect the privacy of individual respondents. A second part could present the target outcomes identified by the university, in support of the Strategic Plan's EDI pillars, and measure progress on these outcomes. A third part of the website could closely

follow the model of the Emily Carr University of Art + Design (ECUAD) EDI Action Plan component of their EDI website which basically outlines components of their Action Plan, but also provides an indication of whether goals have been attained. Finally, the last parts of the web page could provide a community platform for accessing resources or taking part in EDI work.

- **Modify the Special Mission or develop a distinct stream in recognition of the Brampton Campus** The development of the Brampton Campus has greatly changed the reality of Algoma University. This has special relevance to the University's Special Mission, which is explicitly focused on Northern Ontario. Brampton is a very different community, with a distinct history. Algoma University should begin a reflection on its Special Mission, to identify the ways in which it is relevant to the Brampton Campus, and the ways in which it might be adapted to better reflect the Brampton community. Such a reflection should closely involve stakeholders in Brampton and the surrounding area, as well as Northern stakeholders if the present Special might be subject to alteration.
- **Establish an Equity, Diversity, and Inclusion Advisory Committee with clear responsibilities as a part of the overall equity, diversity, and inclusion strategic framework.** As a final component of this strategic framework, we recommend that the University strike an EDI advisory committee to replace the current EDI Committee. The Vice President, Nyaagaaniid-Anishinaabe Initiatives, Equity and Student Success could chair the committee. This advisory committee's primary responsibility would be to oversee the evaluation of the University's performance towards the end of each strategic planning period, and to advise on the establishment of EDI goals in the University's strategic plan. The advisory committee could also be called upon as needed to advise on action plans or other initiatives in intervening periods.

Additional recommendations centre on specific actions to enhance EDI. We will provide less details on these in this summary, instead more simply noting them and their broad justifications.

Cross-cutting actions

The following cross-cutting recommendations would have relevance to all stakeholders on campus.

- Conduct a review of institutional governance and equity, diversity, inclusion, Indigenization, and decolonization
- Confirm the structure of accountability and reporting for key offices and staff leading institutional equity, diversity, and inclusion efforts
- Ensure there are adequate staff resources in the Equity, Diversity, and Inclusion Office
- Conduct a review of institutional policies and procedures from an equity, diversity, and inclusion lens (such work is underway)

- Create policies to facilitate name and gender identity changes for students and employees (such work is underway)
- Develop ombudsperson capacity to help handle complaints and inform institutional change
- Support the creation and functioning of resource groups
- Introduce new annual awards for faculty, staff and students to recognise contributions to equity, diversity and inclusion

The aim of these recommendations is essentially to establish the administrative infrastructure and policy bulwark to support Algoma University's actions to ensure and enhance EDI. These recommendations would tackle present challenges where much EDI work is informal or otherwise lacking in formal supporting policy, can overburden staff, and may lack clear nodes of responsibility.

Employee-focused actions

We offer a host of recommendations which are focused on the University's employees. The following are cross-cutting recommendations focused on employees:

- Establish an institutional employment equity policy
- Integrate responsibilities related to equity, diversity, and inclusion in all employees' job descriptions
- Develop equity, diversity, and inclusion training opportunities for staff, with a schedule for regular revision and updating
- Mandate that all employees on hiring committees and all supervisors have participated in unconscious bias or other equity, diversity, and inclusion-related training in the past two years
- Strike joint committees with the University's three union locals to review collective agreements from an equity, diversity, and inclusion lens (this has already been discussed and planned with both union locals)
- Solidify criteria for determining full-time faculty pay at time of hiring which recognise the unique experiences of diverse faculty members
- Develop strategies to address pay inequities by gender

These recommendations would clarify responsibilities and expectations in terms of EDI for all employees at the University, ensuring the University is more closely following its Special Mission, and ensure those with any kind of supervisory responsibility have EDI-related training. We also specifically recommend tackling pay inequities by gender, most especially for administrative and support staff where these clearly are not tied to seniority.

Additional recommendations focus more narrowly on recruitment and hiring, seeking to enable goal setting, performance measurements, and most of all the strengthening of standards of practice:

- Establish employment equity goals for hiring
- Gather self-identification data from job applicants

- Establish standards for all job postings to ensure that these support the university's goals around equity, diversity, inclusion, Indigenization, and decolonization
- Expand tools for ensuring academic hiring meets EDI standards
- Review recruitment, selection, and retention practices to ensure diversity in candidate pools
- Establish clear standards for onboarding processes which include expectations for training and tone-setting with respect to equity, diversity, inclusion, Indigenization and decolonization

We recommend steps with respect to faculty promotion, tenure and recognition that should ensure that EDI is better accounted for in these critical areas of academic decision-making:

- Make the Academic Lead, Indigenization, Equity, Diversity and Inclusion role permanent with clear responsibilities and authority
- Strengthen the basis for considering equity, diversity, and inclusion in promotion and tenure decisions
- Establish principles for assessing diverse research and teaching approaches and forms of knowledge for purposes of hiring, tenure, promotion, and recognition
- Ensure student course evaluations are used effectively to promote equity, diversity, and inclusion

Finally, our last group of recommendations focused on employees' retention, termination, and retirement. Two of these recommendations centre on gathering better information to inform decision-making, while the last would enable the university consider EDI in the event it has to lay-off employees without cause due to either exigency or redundancy:

- Systematically implement exit interviews for departing staff and faculty with a special focus on questions relating to equity, diversity, and inclusion
- Regularly survey part-time contract faculty regarding their motivations and interests and adjust hiring policies accordingly
- Allow consideration of equity, diversity, and inclusion when determining lay-off lists

Student-focused actions

The next recommendations in the review focus on supporting students.

The first of these centres on EDI in academic programs, and are really about setting standards and creating supports for enhancing EDI:

- Integrate equity, diversity, and inclusion into quality assurance
- Establish a teaching and learning centre with an explicit mandate to advance equity, diversity, and inclusion

The next recommendations focus on student recruitment. These modest steps would help the University to better understand the inclusiveness of its student recruitment process and help the university to enhance the diversity of the student body recruited internationally.

- The Registrar's office should continue to work with Ontario Universities' Application Centre (OUAC) to develop a strategy for gathering self-identification data during potential students' application process
- Seek to diversify source countries and sub-national regions for international recruitment

A larger number of recommendations focus on improving student services. The first of these centres on reaching the cutting edge in twenty-first century student services, by building capacity to gather and use data, to make targeted interventions best designed to promote student services, and to engage with students with a diversity of identities and backgrounds. The last three are more narrowly focused, one on supporting students' employment prospects, the second on the specific financial concerns of some international students, and the last on reviewing the accessibility of online resources.

- Work towards establishing a strong system of student data collection to inform student success interventions
- Develop student services capacity to be able to improve proactive interventions in support of student success
- Strive to be a leader in inclusive student services
- Review Algoma University's approach to work-integrated learning and other means of enhancing the employment prospects of diverse students
- Develop proactive approaches to mitigate the financial vulnerability of international students
- Review all Algoma University online platforms including websites, academic platforms, and online resources to ensure they meet accessibility standards.

Finally, the last set of student-focused recommendations would focus on improving student life. Students themselves are actors in creating an inclusive environment and should be empowered to play their role positively for themselves and their peers.

- Tackle inequities in the student experience between Algoma Campuses
- Engage student leaders as key partners for enhancing equity, diversity, and inclusion
- Embed equity, diversity, and inclusion in student orientation
- Create additional community spaces for equity-deserving groups who need safe and social spaces to be themselves.

Community-focused actions

The last recommendations in the report focus on Algoma University's wider community. They relate to the University both actively promoting EDI in the community and committing to do no harm where its actions or implications might have unintended negative consequences – most notably on markets for affordable housing.

- Engage with local governments, schools, and other stakeholder groups around how Algoma University can contribute to efforts to make local communities more equitable, diverse, and inclusive
- Support engagement activities of faculty and students focused on enhancing equity, diversity, and inclusion in the local community
- Develop student housing to host most international student

Student Demographics

Just over **4% of students** in survey data do not identify as cis-male or female, expressing themselves as two-spirit, gender-fluid, non-binary, or trans.

4%

52%

Administrative data identify **52% of students as female** and **48% as male**.

48%

International students accounted for

69%

of all students in **Fall 2021**, up from 24% in Fall 2017.

7% of students report being asexual or non-sexual (including combined with other identities).

7%

12% of students report being bisexual.

12%

In July 2021, Algoma University commissioned Higher Education Strategy Associates (HESA) to undertake an Equity, Diversity, and Inclusion (EDI) Climate Study. This study has enabled Algoma University to collect self-identification data on its employee and student populations and identify inequities in employment and student success. It has also engaged community members in the process of increasing EDI and gathered input on how Algoma University can create a

Sexual orientations of another **12% of students** include gay, lesbian, omnisexual, pansexual, queer, and two-spirit.

12%

more inclusive environment for all. Through this research, HESA has developed recommendations that responds to the Algoma University community's needs and priorities.

26% of students report belonging to an ethnic minority.

South Asian is the most common ethnicity on campus, accounting for **47% of all students, & 77% of international students**.

47%

77%

The second most common ethnicity is "White", accounting for **28% of all students**.

28%

The third most common ethnicity is Black at **6% of all students**.

6%

14%

14% of students overall identify as having a disability.

9% identify as having mental health related disabilities, 4% learning disabilities, and 3% memory-related disabilities.

9%

4%

3%

22%

of domestic students are first-generation*

20%

of domestic students identify as Indigenous

*i.e. they do not have a parent who completed a university or college credential.

Algoma
UNIVERSITY

Employee Demographics



In July 2021, Algoma University commissioned Higher Education Strategy Associates (HESA) to undertake an Equity, Diversity, and Inclusion (EDI) Climate Study. This study has enabled Algoma University to collect self-identification data on its employee and student populations and identify inequities in employment and student success. It has also engaged community members in the process of in-

creasing EDI and gathered input on how Algoma University can create a more inclusive environment for all. Through this research, HESA has developed recommendations that responds to the Algoma University community's needs and priorities.

Algoma
UNIVERSITY



**Higher
Education**
STRATEGY ASSOCIATES

20 Maud Street, Suite 207
Toronto ON, M5V 2M5, Canada
info@higheredstrategy.com

higheredstrategy.com



Algoma University Equity, Diversity and Inclusion Climate Study Findings

Board Presentation

November 24, 2022

Bios

Jonathan Williams (he/him)

Jonathan Williams is an independent researcher, formerly the VP and Director of Research with HESA. He has led or contributed to equity, diversity and inclusion reviews at four Canadian post-secondary institutions to date. Jonathan has previously conducted research and advisory work with the OECD, the World Bank, and UNESCO. Jonathan splits his time between Mi'kma'ki, the unceded territory of the Mi'kmaq people, and Western Europe.

Naomi Nishimura (she/her)

Naomi Nishimura is an education researcher who graduated from the Ontario Institute for Studies in Education with an M.A. in Education Leadership and Policy. She is currently an Assessment & Research Specialist at Toronto Metropolitan University where she supports and builds research and assessment capacity within the Student Affairs department. Formerly a Research Associate with HESA, she has contributed to four EDI projects at Canadian post-secondary institutions.



Overview of presentation

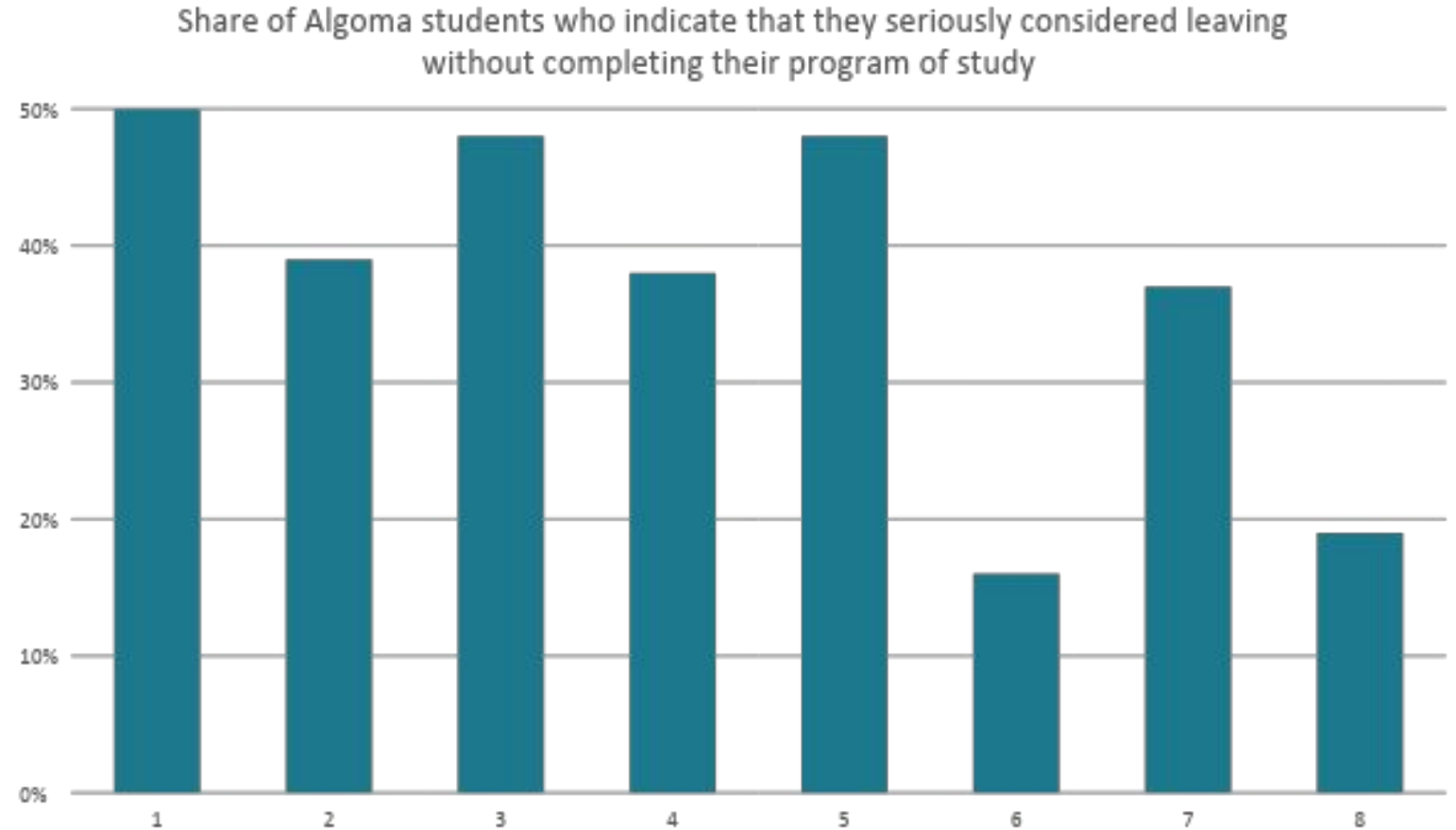
- ▶ Brief summary of findings
- ▶ Strategic framework
- ▶ Specific actions
 - Transversal
 - Employee-focused
 - Student-focused
 - Community-focused



Summary of findings (1/3)

Students

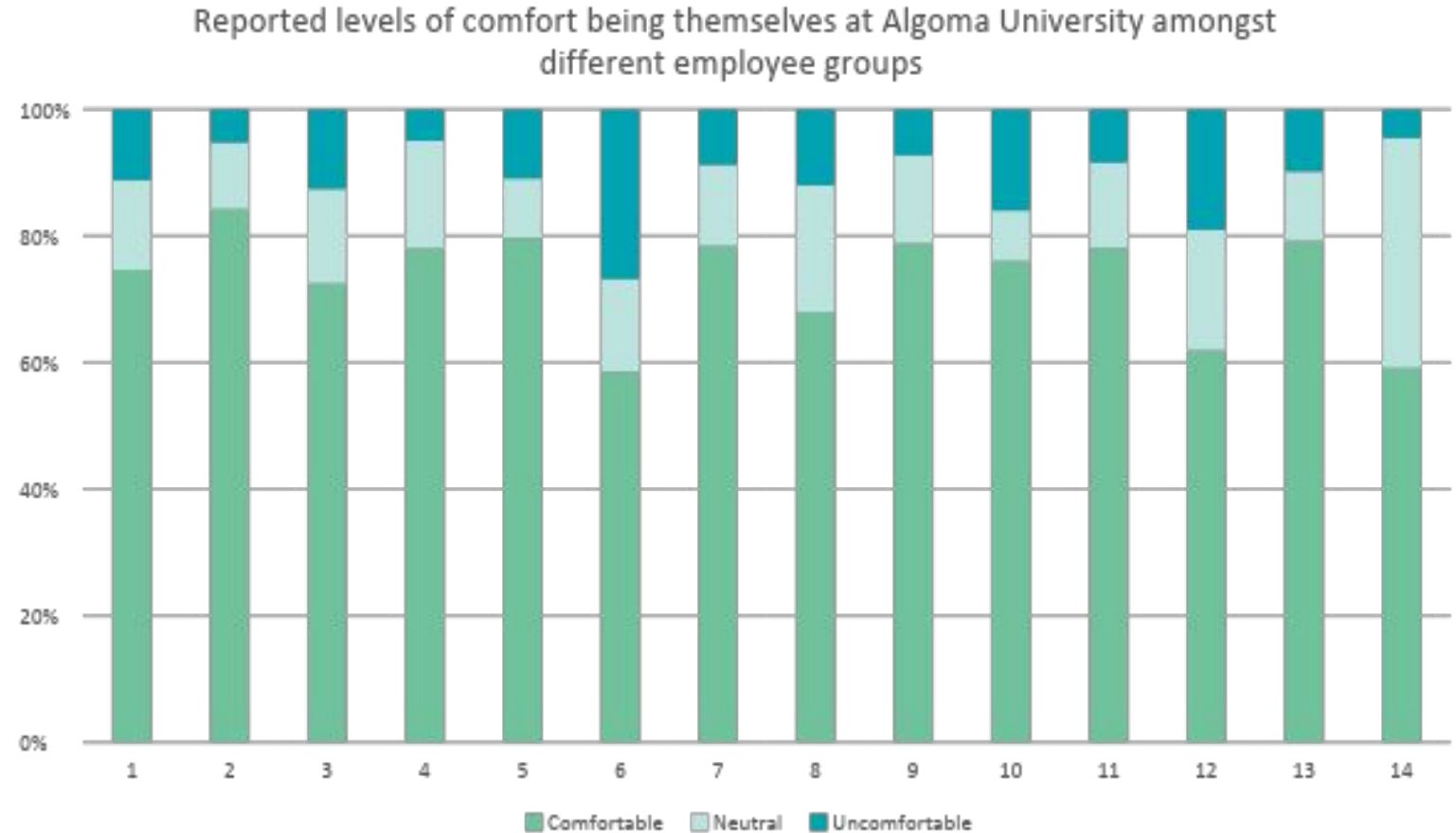
- ▶ Positive results for international students
- ▶ There is exclusion based on disability, first-generation status, Indigeneity, gender and sexual orientation
- ▶ Exclusion makes students feel less likely to realise their full potential and more likely to drop-out



Summary of findings (2/3)

Employees

- ▶ Tenure-track faculty
- ▶ There are some inequities based on employees' identities
 - More negative among visible minority staff (outside Brampton)
 - Moderate evidence in terms of staff who are Indigenous, have disabilities, are 2SLGBTQQIPA+



Summary of findings (3/3)

Algoma efforts to promote EDI

- ▶ Exciting, but at an early stage still
- ▶ A strong shared sense of what EDI means, but there is still scope to enhance community buy-in for EDI efforts
- ▶ Particularly important progress on Indigenisation, but still much room for improvement
- ▶ Heavy workloads placed on those leading EDI efforts, who are often members of equity groups

Employment systems review

- ▶ The HR department was previously very small and so Algoma is generally in catch-up mode. Much progress is being made and many good practices in place, although these often need formalising.
- ▶ Particular concerns exist around faculty hiring and other decisions surrounding faculty management.
- ▶ Pay inequities by gender merit attention



Recommendations: Strategic Framework

Set goals and measure performance

- ▶ Maintain Equity, Diversity, and Inclusion as a pillar in the University's next Strategic Plan and establish a requirement to evaluate performance relative to this pillar at the end of the planning period.
- ▶ Develop capacity to measure institutional performance in terms of equity, diversity, and inclusion outcomes.

Plan actions and report on progress

- ▶ Establish a framework of transparent equity, diversity, and inclusion action plans, with associated budgets and related reporting.
- ▶ Create an Equity, Diversity, and Inclusion web page to share data, plans for actions, information on community activities and ways to get involved, and reporting on results.



Recommendations: Transversal actions

Strengthen structures for EDI

- ▶ Review of institutional governance*
- ▶ Conduct a review of institutional policies and procedures from an EDI lens*
- ▶ Confirm structure of accountability and reporting for key offices and staff
- ▶ Ensure there are adequate staff resources in the EDI Office

Other activities

- ▶ Develop ombudsperson capacity
- ▶ Support resource groups
- ▶ Introduce EDI-related awards for faculty, staff and students



Recommendations: Employee-focused actions

Overall shifts

- ▶ Establish an institutional employment equity policy
- ▶ Strike joint committees with union locals to review collective agreements with an EDI lens*
- ▶ Mandate EDI training for all employees involved in hiring and supervision
- ▶ Integrate EDI-related responsibilities in all employees' job descriptions

Other areas

- ▶ Recruitment and hiring
- ▶ Faculty promotion, tenure, development and recognition
- ▶ Retention, termination and retirement



Recommendations: Student- and community-focused actions

Student-focused areas

- ▶ Academic programs and recruitment
- ▶ Student services
- ▶ Student life

Community

- ▶ Engage partners on how the University can contribute to enhancing EDI in the local community
- ▶ Support engagement activities of faculty and students focused on EDI in the local community
- ▶ Develop student housing to host a majority of international students



Discussion





Research Presentation - Dr. Nirosha Murugan

OPEN AGENDA

Meeting Date: November 24, 2022

Action: Information

PREPARED BY:

Tiffany Gallivan, Manager, Academic and Research

Robin Isard, Assistant Librarian

PURPOSE OF REPORT

Algoma University researchers to share their research projects with the Board of Governors

RELATED DOCUMENTS

1. Research Presentation

STRATEGIC PRIORITY ALIGNMENT

Strategic Priority #4: Cultivate a Culture of Research and Innovation that enhances the university's economic and community engagement and its impact

BACKGROUND

Aligns with Strategic Priority 4 and will provide our Board members some insight into the innovative work AU Faculty researchers are engaged in.

CURRENT STATUS

Dr. Nirosha Murugan is an Assistant Professor in our Biology Department. She has recently been awarded a Tier II Canada Research Chair in Tissue Biophysics, valued at \$600,000 over 5 years. She has also been successful in obtaining a Canada for Innovation - John R. Evans Leaders Fund (CFI-JELF) to provide the equipment needed in her lab totalling \$74,984. In 2021/22, Dr. Murugan was awarded an NSERC Discovery Grant as well as a New Frontiers Research Fund-Explore grant. She has recently returned from a research trip to Belgium where she provided four of her upper-year students a valuable experiential learning opportunity in research.

FUTURE STATUS

Dr. Murugan continues to build her lab and develop important research partnerships that will benefit Algoma University and the community. Her students are always at the forefront of her research projects and she will continue to provide research opportunities and experiential learning.

ACTION

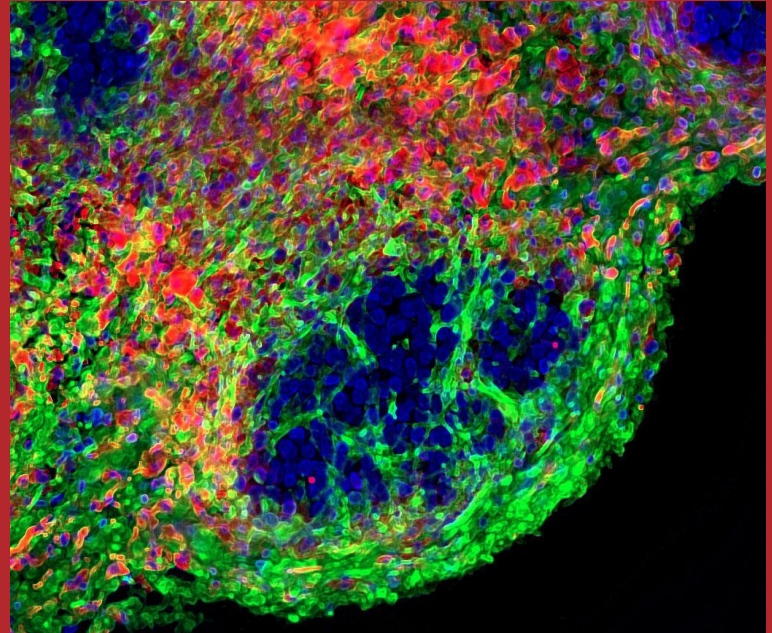
N/A

Changing Cellular Conversations in Cancer & Regenerative Medicine

Dr. Nirosha J. Murugan

Canada Research Chair in Tissue Biophysics

Assistant Professor (Health Sciences)



The People



Training of HQP

21 UGs/RA (AU), 1 MSc
(LU), 2 PhD (LU/UW)



THE
MURUGAN
LAB

Funding



CANADA
RESEARCH
CHAIRS



NSERC
CRSNG



New Frontiers in Research Fund
Fonds Nouvelles frontières en recherche



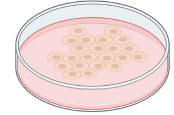
Ontario

NORTHERN ONTARIO
HERITAGE FUND CORPORATION



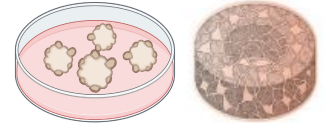
Secured To Date:
\$1.1 million

Model Systems



Cell culture

(Mammalian cells)
Stem & Cancer



3D organoids

(Organs in a Dish)



Human

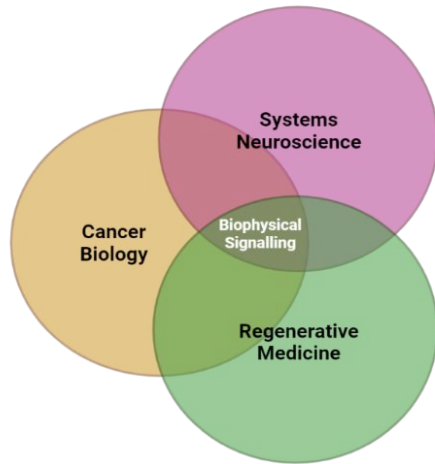
(Non-Invasive
Neuroimaging)



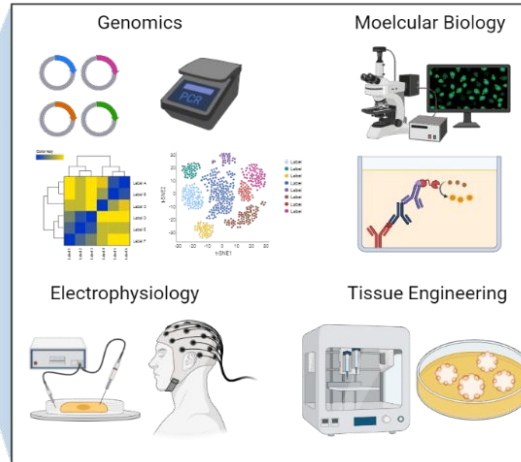
Research Stream 1

Reprogramming cancer & Limb Regeneration

An overview of Dr. Nirosha Murugan's Research Program and Interest



Experimental Approaches & Techniques used in Dr. Murugan's Research Program



Funding support



NSERC
CRSNG



CANADA
RESEARCH
CHAIRS

- 1) Can we use biophysical signalling ***to interrupt cellular communication*** to control tissue patterning
- 2) ***Develop tools*** for biophysical communication modulation
 - Read □ What are the cells saying?
 - Write □ Can we fix the message?



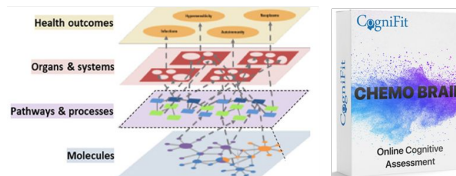
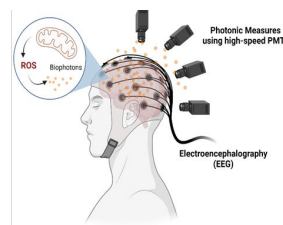
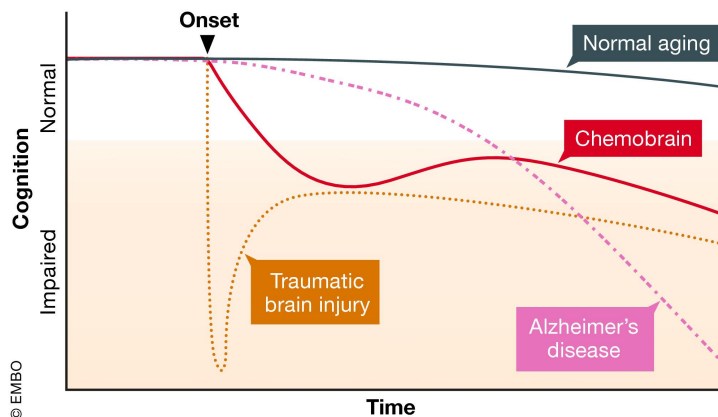
National Center
for Advancing
Translational Sciences



Research Stream 2



Enhancing Brain Health after Cancer Therapy: Early Detection of CCI & Neurodegenerative Diseases



Collaborators:



Dr. I. Voutsadakis
Medical Oncologist
SAH



Dr. S. Kuppuswamy
Psychiatrist
NOSM



Dr. J. Dunn
Medical Physicist
Hotchkiss Brain
Institute



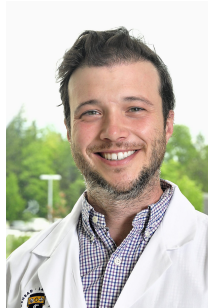
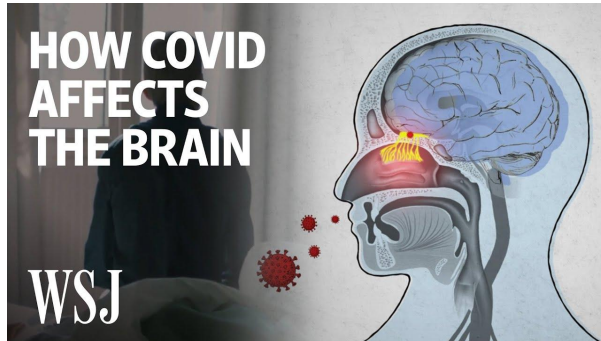
Research Stream 3

Funding support



Long COVID Effects : COVID Fog & Risk Perception for Future Pandemics

Collaborators



Dr L. Castellani
Infectious
Disease
Specialist
SAH



D. Brandow
PhD Candidate
U Waterloo
(Dr. K Skinner)



Thomas More University, Belgium



Update: Financial Policy updates for Approval

OPEN AGENDA

Meeting Date: November 24, 2022
Action: Approval

PREPARED BY:

Shannon Brooks, Billi Grisdale-Briski , and Rachel Tatasciore

PURPOSE OF REPORT

To seek approval and support for the following financial policies updates and changes.

RELATED DOCUMENTS

1. [Procurement Policy](#)
2. [Purchasing Card Policy](#)
3. [Travel, Meal and Hospitality Policy](#)

STRATEGIC PRIORITY ALIGNMENT

Priority #1: Campus Culture - A dynamic hub for community and student life

BACKGROUND

A number of the University's policies are out of date and a concerted effort to update policies across all areas is underway. Our initial focus has been on updating the financial policies (see Appendix A). We have begun a review of the existing policies, identified whether they are current or require updating, and have begun to review the potential gaps that may exist within the policy environment. Additionally, upon review of the existing financial policies, it was determined that some policies could be consolidated with simplified language and instructions to improve clarity and compliance. Our efforts this year will ensure our Financial policies are current and contain the appropriate content for existing processes, required financial controls, legislative compliance, and compliance with Ministry Directives where applicable.

RECOMMENDATION

We have three (3) policies now updated and presented for Board of Governors approval as follows:

1. Procurement Policy
2. Purchasing Card Policy
3. Travel, Meal and Hospitality Expense Policy



SUMMARY OF POLICY UPDATES FOR APPROVAL:

The three policies have each been reviewed and updated to ensure compliance with applicable legislation and government procurement directives (CRA, BPS, CETA, CFTA). Careful consideration was given to ensure alignment with best practices as demonstrated via a thorough comparison with other Ontario University policies and a review of each policy from an Indigenization, Equity, Diversity and Inclusion lens.

- Approval authorities have been removed from individual policies and collectively will form the new Signature Authority Policy.
- Process/procedure related language has been removed and is being incorporated into the formal procedures that will accompany each policy.

Procurement Policy

This policy has been developed in compliance and close alignment with the Broader Public Sector (BPS) Procurement Directive¹ and reflects an amalgamation of the previous standalone policies as follows:

- Purchasing of Goods and Services Policy
- Ethical Purchasing Policy
- Information Technology Purchasing Policy and
- Sole or Single Source Certification

Summary of Key Changes:

- Competitive Procurement Thresholds and purchase methods have been updated and aligned with the BPS Procurement Directive (procurement policy, Appendix A)
- Exceptions are clearly laid out as to the required approval and circumstances where exceptions to the policy may be considered (section 5.2)
- As we continue to decolonize our policies and processes, Cultural Advisory and Ceremonial Services are identified as an area in which exceptions to competitive procurement may be authorized (section 5.2.2B) and IEDI criteria has been identified as allowable in evaluation criteria where appropriate (section 5.3.2)
- As we begin to embark on environmental, social and governance (ESG) considerations, a section has been included to encourage and allow, where appropriate, factors in the evaluation of submissions which help the university to set and meet goals relating to ESG initiatives (section 5.3.1)

Purchasing Card Policy

This is a new policy which has been developed to establish rules for making eligible purchases via an Algoma University issued credit card and set out the responsibilities of the cardholders and their managers/supervisors. These purchasing cards are used for eligible purchases as defined in the policy and/or business travel expenses. There are currently 40 cards issued with a corporate limit of \$500,000 monthly. This program has expanded considerably in the past few years and is anticipated to continue to expand as we grow as an institution and work to reduce/eliminate cheques as a form of regular payment.

¹ [https://www.doingbusiness.mgs.gov.on.ca/mbs/psb/psb.nsf/Attachments/BSPProcDir-eng/\\$FILE/BSPProcDir-eng.html](https://www.doingbusiness.mgs.gov.on.ca/mbs/psb/psb.nsf/Attachments/BSPProcDir-eng/$FILE/BSPProcDir-eng.html)



Travel, Meal and Hospitality Expense Policy

This policy was last updated in 2012. It has been updated in alignment with the 2020 update of the Broader Public Sector Travel Meal and Hospitality Expenses Directive² and reflects an amalgamation of the previous standalone policies:

- Travel Expense Policy
- Non-Travel Expense Policy
- Honorarium Policy

Summary of Key Changes:

1. Meals:
 - The total daily meal allowance has been updated in alignment with the Canada Revenue Agency (CRA) meal reimbursement rates for 2022³ with limits proposed as follows (Per policy, Appendix A):
 - Breakfast \$25, Lunch \$25, Dinner \$50 (total daily limit of \$100), receipts required
 - The above limits are in Canadian dollars for travel within Canada, and have the same amounts but applied in US dollars for travel within the USA. For meals outside of Canada and the US, the meal allowances per this policy are equal to those published by the CRA.⁴
 - Alcohol is not a reimbursable expense (section 4.3.2)
2. Travel - General
 - Approval requirements are set out in section 4.4.3 of the policy. The president is required to approve travel outside of North America and the President's own travel requires the Board Chair or Vice-Chair to approve. (section 4.4.3)
 - Loyalty programs are not to be used personally while travelling on University business
 - A kilometrage allowance of \$0.61 per KM for travel by personal vehicle (Appendix A). This allowance has been aligned to CRA's 2022 reasonable allowance rates.
 - Gratuities up to 18% will be reimbursed
 - Dependent Care may be reimbursed in the circumstances as outlined in section 4.7.2 and at the rates as set out in Appendix A.
 - Insurance considerations are as set out in section 4.8
3. Air/Rail/Bus travel
 - upgrades to Business Class may be authorized with prior approval from the President in circumstances where an individual is travelling outside of North America on university business and the total elapsed flight time of the most direct route is more than six (6) hours (section 4.6.3)
4. Hospitality
 - Section 4.9 outlines the circumstances in which Hospitality expenses may be incurred and reimbursed
 - Section 4.10 and 4.11 outlines the circumstances in which Honorariums and Gifts of Appreciation of nominal value (up to \$100) may be provided to individuals. This includes situations where individuals are contributing gratuitous services to the University, during hospitality, significant life events of an employee, and in situations where it is culturally appropriate and customary.

² <https://www.ontario.ca/page/travel-meal-and-hospitality-expenses-directive-2020>

³

<https://www.canada.ca/en/revenue-agency/corporate/about-canada-revenue-agency-cra/travel-directive/appendix-b-meals-allowances-april-2022.html>

⁴

<https://www.canada.ca/en/revenue-agency/corporate/about-canada-revenue-agency-cra/travel-directive/appendix-c-daily-meal-rates-locations-abroad-oct-2022.html>



- Honorarium payments have increased to a maximum of \$500 (previously \$300) per instance with prior approvals of the Vice-President of the division and the VPFO.

MOTION:

That the Board of Governors approves the Procurement Policy

MOTION:

That the Board of Governors approves the Purchasing Card Policy.

MOTION:

That the Board of Governors approves the Travel, Meal and Hospitality Expense Policy.

Procurement Policy

Category: Financial

Number: FI-01-02

Responsible Officer: Vice President of Finance and Operations

Responsible Office: Financial Services

Approval date: Board of Governors, [date latest version was approved]

Last Updated: February 2012

Next Review Date: November 2027

Review Period: Every five years or as circumstances or legislation warrant

Effective: [effective date]	Revised: [date of latest version]	Superseded #: FI-01-01	Page #: [x of x]
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1. PURPOSE

This policy has been developed to:

- 1.1. Ensure Algoma University compliance with all applicable legislations and government procurement directives
- 1.2. Ensure Goods and Services are acquired through a process that is open, fair, and transparent, non-discriminatory, geographically neutral, and accessible to qualified suppliers.
- 1.3. Specify the responsibilities of all individuals participating in the University's procurement process.
- 1.4. Ensure that Algoma University has sound purchasing practices and that the appropriate controls are in place to support the efficient and effective expenditure of public funds.

2. SCOPE

- 2.1. This policy applies to all employees and individuals participating in the University's procurement processes.
- 2.2. This Policy does not apply to participation in any commercial arrangements where the University is not acquiring any goods or services such as sponsorships, and memberships.

3. DEFINITIONS

“Fair Trade” means that farmers, workers, and artisans receive a sufficient price under direct long-term contracts; don't use abusive child labour or forced labour, and; use ecologically sustainable methods.

“Goods and Services” mean any goods, construction, and services, including but not limited to IT, equipment, supplies and consulting services.

“Procurement” and/ or **“Purchasing”** means the act of obtaining Goods and Services.

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“Signing Authority” individuals within the University who have authority for procurement decision-making as set out in the University’s Signature Authority Policy.

“Vendor of Record (VOR)” means a vendor established by a competitive procurement process to supply specific goods and/or services over a predetermined duration with whom the University has a formalized, non-exclusive relationship for a set of products, services, or commodity areas. The relationship is governed by a contract or supply arrangement to streamline the ordering and payment channel, and provide benefits to the community, such as product discounts or service-level agreements for supply, delivery, and warranty. Purchases from a Vendor of Record do not require the minimum number of quotations for competitive tendering provided that all the qualified vendors are invited to the process.

“Consulting Services” includes such services as expert advice, strategic advice, thinking, guidance or plans, assessment without implementation, consideration and/or decision making.

“Construction” means construction, reconstruction, demolition, repair or renovation of the interior or exterior of a building, structure or other civil engineering or architectural work and includes site preparation, excavation, drilling, seismic investigation, the supply of products and materials, the supply of equipment and machinery if they are included in and incidental to the construction, and the installation and repair of fixtures of a building, structure or other civil engineering or architectural work.

“Information Technology (IT) equipment” means any hardware, software, software imaging, accessories and peripherals), telecommunications equipment (network and cellular devices), and any other printing devices or non-standard technology, including all warranty and repair work.

“Limited Tendering” a limited tendering competitive procurement process is one where only one vendor exists or might be engaged (e.g., single sourcing, sole sourcing).

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“Sole Source” only one supplier is capable of meeting end user requirements and specifications; no other suppliers or distributors in the market.

“Single Source” more than one supplier or distributor for a product exists in the market; however, only one of those suppliers or distributors is able to meet specific requirements.

4. PRINCIPLES

Personal Integrity and Professionalism

Individuals involved with purchasing activities must act, and be seen to act, with integrity and professionalism. Honesty, care, and due diligence must be integral to all purchasing activities within and between BPS organizations, Vendors, and other stakeholders. Respect must be demonstrated for each other and for the environment. Confidential information must be safeguarded. Participants must not engage in any activity that may create, or appear to create, a conflict of interest, such as accepting gifts or favours, providing preferential treatment, or publicly endorsing suppliers or products.

Supplier Access, Transparency, and Fairness

Access for qualified suppliers to compete for the University’s business must be open and the procurement process must be conducted in a fair and transparent manner providing equal treatment to suppliers. Suppliers must have equal access to information on procurement opportunities, processes, and results. Standardized processes remove inefficiencies and create a level playing field.

Where the University imposes conditions for participation in a procurement, it shall limit such conditions to only those that are essential to ensure that a supplier has the legal and financial capacities, and the commercial and technical abilities, to undertake the relevant procurement.

Value For Money

The University must maximize the value received from the use of public funds. A value-for-money approach aims to deliver goods and services at the optimum total life-cycle cost. Individuals involved with purchasing activities should consider factors such as the requirements of the business, alternatives, timing, supply strategy and total life cycle costs of the good or service when evaluating vendors’

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submissions.

Quality Service Delivery

Front-line services provided by Organizations, such as teaching and patient care, must receive the right product, at the right time and in the right place.

Geographic Neutrality and Reciprocal Non-Discrimination

The University must ensure that access for suppliers to compete for business is geographically neutral with respect to other jurisdictions that practice reciprocal non-discrimination with Ontario.

Sustainability

Procurement planning and activities should be undertaken with a view to promoting social, environmental, and financial sustainability.

5. POLICY

5.1. General

5.1.1. Purchasing processes shall be compliant with all applicable legislation, including:

- a) the Broader Public Sector (BPS) Procurement Directive issued by the Management Board of Cabinet,
- b) the Broader Public Sector Supply Chain Code of Ethics,
- c) the applicable and current in effect Trade Agreements;

5.1.2. All procurement shall follow the procurement threshold rules set out in Appendix A.

5.1.3. The Procurement department is the only department authorized to issue, amend or cancel a purchase order.

5.1.4. Purchases must be made by purchase order, subject to the following exceptions:

- a) Purchases that fall under the University's Purchasing Card Policy;

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- b) Regular recurring payments such as utilities or rent; and
 - c) Expenditures which have a different approval process (i.e. travel expenditures, insurance requirements, honorariums, emergency repairs, etc).
- 5.1.5. Individuals shall involve the Procurement department in all procurement activity valued at \$10,000 or greater and in all situations where an invitational or open competitive procurement process is required or followed.
- 5.1.6. Only the designated contact person from the Procurement department is permitted to communicate with bidders and proponents during the competitive procurement process.
- 5.1.7. Purchases shall not be artificially partitioned to avoid appropriate purchasing procedures.
- 5.1.8. All purchases and purchasing contracts shall be authorized in accordance with the University's Signing Authority Policy.
- 5.1.9. The university shall not pay or reimburse a consultant for any hospitality, incidental or food expenses, except when such expenses have been incurred while travelling on University business and where the contract between the university and the consultant provides for such reimbursement. Such expenses shall be compliant with the university's Travel Meal and Hospitality Expense Policy.
- 5.1.10. The university contracts legal services centrally through the office of the Vice-President Finance and Operations (VPFO) from outside law firms on a demand basis. Situations requiring legal advice, including notices of litigation, contract development, and more shall be reported to the office of the VPFO to access legal services.
- 5.1.11. Individuals shall obtain additional approval and consultation for the procurement of specified Goods and Services as set out in Appendix B.

Effective: [effective date]	Revised: [date of latest version]	Superseded #: FI-01-01	Page #: [x of x]
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- 5.1.12. The entering into lease, lease purchase or rental options on any equipment or property is to be determined by Financial Services with the approval of Vice-President Finance and Operations (VPFO) .
- 5.1.13. All purchases must be requested through the relevant departments as outlined in Appendix B - Purchasing Category Approvals.
- 5.1.14. All calls for open competitive procurements must be made through an electronic tendering system and the AU website that is readily accessible by all Canadian suppliers.

5.2. Exceptions

- 5.2.1. Exceptions to this policy require prior approval from the Vice President Finance and Operations (VPFO). In cases where the exception is requested by the Vice President Finance and Operations (VPFO) the President will also be required to approve.
- 5.2.2. Non-competitive single or sole source procurement may be approved as an exception to this policy in the circumstances listed below:

A) Goods, Materials and Non-Consulting Services

- An emergency situation exists where an acquisition is urgently required to prevent danger to life or property, or suspension or serious delay of essential services that would be injurious to the University.
- Where goods or services regarding matters of a confidential or privileged nature are to be purchased and the disclosure of those matters through an open tendering process could reasonably be expected to compromise government confidentiality, cause economic disruption or otherwise be contrary to the public interest;
- The University has carried out a procurement in compliance with this Policy and did not receive bids.

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- No alternative or substitute product or service exists that meets the specific or unique technical or research requirements of the purchase.
- To ensure compatibility with existing products, to recognize exclusive rights such as licenses, copyright, and patent rights, or to maintain specialized products that must be maintained by the manufacturer or its representative.
- More than one supplier exists in the market for the requested good or service; however, only the supplier or distributor indicated is able to meet specific requirements for this purchase.
- The purchase is for a prototype or a first good or service to be developed in the course of and for a particular contract for research, experiment, study or original development, but not for any other subsequent purchases.
- Procurement of services that in Ontario may, by legislation or regulation, be provided only by a licensed professional such as medical doctors, dentists, nurses, pharmacists, veterinarians, health services, social services, postal services, etc.
- For the procurement of subscriptions to newspapers, magazines, or other online platforms to post Algoma University job postings.
- The purchase is for subscriptions to or to place advertisements in various media directly such as online newspapers. Advertisements on social media platforms through third parties are not allowable exceptions.
- The purchase is for goods or services available under exceptional circumstances such as bankruptcy or receivership, but not for routine purchases.

B) Cultural Advisory and Ceremonial Services

- The subject matter expert is of a cultural or indigenous nature, such as Indigenous Knowledge Keepers, Elders and Fire Keepers.

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C) Construction, Renovation and Deferred Maintenance

- The purchase is for architectural or engineering services that expand on original work that has advantages of continued services from the same vendor.
- Where commitment or contract requires the sole vendor, (ie leasehold improvements).
- An emergency situation exists where an acquisition is urgently required to prevent danger to life or property or suspension or serious delay of essential services that would be injurious to the University.

D) Other

- For the procurement of original works of art, including but not limited to indigenous artifacts and archives, sculptures, paintings, rare books etc.
- For the procurement of real property.
- The subject matter of the purchase is of a confidential nature and its disclosure through a competitive bid process could compromise security, cause economic disruption or otherwise be contrary to the public interest.

5.3. Other Considerations

5.3.1. Environmental, Social and Governance Considerations

The University shall consider the following, where relevant, in the development of the evaluation framework:

- Seeking Goods and Services that meet the University's requirements and deliver sustainability benefits, including Fair Trade certified products where available
- Seeking suppliers that have leading sustainability practices in their governance, supply chain or operations
- Setting minimum standards for human rights and fair labour, health and safety and environmental practices in the procurement process
- Including environmental and social considerations in procurement evaluations where appropriate

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5.3.2. Indigenization, Equity, Diversity and Inclusion (IEDI)

The University shall consider and include procurement postings on additional sites to ensure businesses owned by people of colour, First Nations, Inuit, and Metis have every opportunity to participate in procurements issued under this policy.

The University shall consider the following additional criteria, where relevant, in the development of the evaluation framework :

- Vendor's focus on indigenization, diversity and inclusion within their organization;
- Cultural sensitivity training in Vendor organizations;
- A vendor's stated and demonstrated commitment to action through their response to the TRC's Calls to Action

6. Fairness and Transparency

6.1. Individuals engaged in procurement activities shall be free of interests or relationships, which are currently or potentially detrimental to the best interests of the university.

6.2. Individuals who hold outside business relationships that might involve a conflict of interest shall declare the conflict and details of the circumstances to the Procurement department. The Vice President Finance and Operations is responsible for advising of the action that will be required to resolve the declared conflict.

6.3. The University shall not purchase goods or services from university employees or from businesses owned or managed by university employees. Exceptions to this policy may be authorized by the Vice President Finance and Operations in exceptional circumstances.

6.4. University employees shall not use their official capacity to negotiate

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or conduct personal purchases for themselves or others.

- 6.5. All information submitted by bidders and proponents shall be held in strict confidence and will not be revealed to another party except as may be required by any applicable law (i.e Freedom of Information Act).
- 6.6. Employees shall avoid any conflict of interest or the appearance of a conflict of interest in any purchasing solicitation or decision.
- 6.7. Algoma University will not entertain bids from, or otherwise do business with, firms that the University is currently in legal proceedings with or those who have taken legal action against the University in the past and wherein no amicable settlement has been reached.

7. Acceptance of Gifts

- 7.1. Acceptance of gifts from Vendors involved in ongoing tender processes or in cases where such acceptance is likely to produce a conflict of interest is strictly prohibited.
- 7.2. Acceptance of gifts from Vendors not involved in an ongoing tender process is permitted under the following circumstances:
 - The gift is of nominal value (\$50 or less); and
 - acceptance of such gift is not likely to produce a conflict of interest
- 7.3. Acceptance of gifts assessed at greater than nominal value (\$50) is not permitted except in the following circumstance:
 - where rejecting a gift assessed at greater than \$50.00 would offend the Vendor and/or the Vendor relationship or would be culturally inappropriate in the circumstances; and,
 - The gift is reported, documented and approved by Financial Services.
 - gifts valued at greater than \$300 must also be approved by the Vice-President Finance and Operations (VPFO).

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8. Contracts

- 8.1. The agreement between the University and the successful supplier shall be formally defined in a signed written contract before the provision of supplying goods or services. This applies to all procurement resulting from an invitational or open competitive process as outlined in Appendix A. Exceptions must be approved by the Vice President Finance and Operations (VPFO).
- 8.2. All contracts awarded for the supply of goods or services shall not exceed a maximum term of five years, after which time re-tendering will be required. Exceptions may be authorized by the Vice President Finance and Operations (VPFO).
- 8.3. The university is not obligated to award a contract. A tender or an RFP in progress may be cancelled by the University at any time.
- 8.4. Legal documents and binding contracts shall be reviewed by the office of the VPFO prior to signing in accordance with Signing Authority Policy.
- 8.5. Algoma University is a registered non-OPS client under the Enterprise-wide Vendor of Record Arrangements and Volume Licensing Agreements. In this capacity, the University procurement department may choose to participate in a cooperative purchasing project with other local, provincial, or federal organizations.

9. ROLES AND RESPONSIBILITIES

- 9.1. **Individuals involved in procurement activities are responsible and accountable for:**
 - Maintaining the highest standard of business ethics, professional competence and acting in accordance with the Broader Public Sector Supply Chain Code of Ethics as outlined in Section 4 Principles of this document.
 - Ensuring appropriate budget (operating or capital) has been

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- approved prior to initiating procurement activities;
- Ensuring additional approval and consultations are carried out for the procurement of specified Goods and Services as set out in Appendix B.
- Obtaining prior approval of procurement in accordance with the Signature Authority Policy.
- Selecting the appropriate procurement method in consultation with Procurement (Appendix A);
- Adhering to purchasing process requirements, engaging with the Procurement department and adhering to this policy
- Carefully reviewing terms and conditions of purchase contracts and ensuring documents are signed by the appropriate authority in accordance with the Signing Authority Policy.

9.2. The Procurement department is responsible and accountable for:

- Maintaining a centralized procurement function within Algoma University, for the procurement of all Goods and Services
- Supporting individuals involved in procurement activities and decision making and ensuring all activity is compliant with this policy
- Carefully reviewing terms and conditions of purchase contracts and engaging experts where appropriate (i.e. legal, subject matter experts, etc.)
- confirming the method of procurement selected is appropriate and in compliance with this policy (competitive, non-competitive, or collaborative procurement process) including conduct market research, establish purchase requirements, and identify possible sources of supply
- Overseeing all facets of the competitive procurement process
- Reviewing and updating all procurement information, documentation and templates to ensure that it is current, accurate and complete
- Advocate for sustainable solutions, including the consideration of environmentally friendly criteria, total life cycle costs, and community impact
- Ensure that written contracts between the University and its vendors meet all legal requirements and adequately represent the University's interests;
- Document any issues relating to contract performance raised by the

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individual or department responsible for the vendor relations

9.3. The Vice President of Finance and Operations (VPFO) is responsible and accountable for:

- Setting the strategic direction of Algoma University's purchasing operations and ensuring compliance with all applicable legislation and government directives through this policy and related processes
- procedural design of procurement systems and programs which ensure Algoma University benefits from the best combination of cost, product quality, delivery, and service,
- reviewing and approving exceptions and special circumstances as outlined within this policy

10. Cross Reference to Other Existing Policies or Regulations

- the Broader Public Sector Procurement Directive, issued by Management Board of Cabinet (BPS),
- the Canadian Free Trade Agreement (CFTA)
- the Comprehensive Economic and Trade Agreement (CETA) CETA and
- the Ontario-Quebec Trade and Cooperation Agreement (OQTCA)
- applicable laws of Ontario including contract law, the law of competitive processes, privacy legislation, accessibility legislation and any other legislation that may be applicable.
- Signing authority policy

Related Policies

- Signing Authority Policy
- Purchasing Card Policy
- Travel Expense and Non-Travel Policy

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Appendix A - Competitive Procurement Thresholds and Purchase Method

Goods & Non-Consulting Services		
Total Procurement Value (inclusive of HST)	Purchase Method	Requisition Required
\$0 - \$2999.99	Direct Purchase	Purchasing Card
\$3000 - \$9,999.99	Direct Purchase	Purchase Order
\$10,000 to \$24,999.99	Invitational competitive procurement process (minimum of 2 written quotes)	Purchase Order
\$25,000 to \$99,999.99	Invitational competitive procurement process (minimum of 3 written quotes)	Purchase Order
\$100,000 or more	Open competitive procurement process	Purchase Order
Consulting Services		
\$0 up to \$24,999.99	Invitational or open competitive process (minimum of 2 written quotes)	Purchase Order
\$25,000 up to \$99,999.99	Invitational or open competitive process (minimum of 3 written quotes)	Purchase Order
\$100,000 or more	Open competitive process	Purchase Order
Construction & Renovation Services		
\$0 - \$9,999.99	Direct Purchase	Purchasing Card
\$10,000- \$24,999.99	Invitational or open competitive process (minimum of 2 written quotes)	Purchase Order
\$25,000- \$99,999	Invitational competitive procurement (minimum of 3 quotes)	Purchase Order
\$100,000 or greater	Open competitive procurement process	Purchase Order

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Appendix B - Purchasing Category Approvals

To achieve a standard of quality and compatibility, and to support the internal service departments, the following categories of requisitions shall be vetted through the appropriate division/department prior to any purchase commitment. The process remains the same regardless of the limit for competitive quotes.

Category	Required Approval	Purpose
Advertising and Promotional Materials	Marketing and Communications	Conformity to established practices
Architectural, engineering, or design consultants and construction related expenditures	VPFO office, Facilities and Plant Services	Conformity to established practices and building codes
Buildings, land or property leases	VPFO office	Conformity to established health and safety standards and compliance with Board Policy.
Construction or renovations	Facilities and Plant Services	Conformity to established practices and building codes
Furniture and Fixtures	Facilities and Plant Services	Conformity to established standards

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IT Hardware infrastructure (desktop, laptop, tablet, printers, scanners, servers, network gear, telephones, etc.)	Innovation and Technology	Conformity to established standards and compatibility with existing equipment
Insurance Services	VPFO office	Conformity to established standards and compliance with existing vendor contract terms
Legal Services	VPFO office	Conformity to established practices
Multimedia/AV equipment (classroom and non-classroom use)	Innovation and Technology	Conformity to established standards and compatibility with existing equipment
Software - Financial management software including payment processing, invoicing, online portals (including paypal, third party credit card processors, etc.)	Financial Services	Conformity to established standards and compatibility with existing systems and financial controls.
Software - All (including online and mobile apps)	Innovation and Technology	Suitability, compatibility with existing equipment (hardware / server requirements) and measurement of service impact.

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Purchasing Card Policy

Category: Financial

Number: FI-10-01

Responsible Officer: Vice President of Finance and Operations

Responsible Office: Finance and Operations

Approval date: Board of Governors, [date latest version was approved]

Last Updated: NA

Next Review Date: November 2027

Review Period: Every five years or as circumstances or legislation warrants

1. PURPOSE

This policy has been developed to establish rules for making small dollar value purchases of goods and services in an efficient, economical and operationally feasible manner.

2. SCOPE

This policy applies to all individuals who have been issued a University credit card (cardholders) and managers/supervisors who approve credit card transactions and statements.

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3. POLICY

- 3.1. University issued credit cards (Purchasing cards) shall be issued by the Procurement Department upon request, to individuals who have authority to make purchases on behalf of the University as outlined in the Signature Authority Policy.
- 3.2. The issuance of purchasing cards requires written authorization from an individual's immediate manager/supervisor.
- 3.3. Cardholders shall use the purchasing card for the purchase of goods and services, subject to the following conditions:
 - The per transaction limit assigned shall be in alignment with the Procurement Policy thresholds for direct purchase and shall not exceed a cardholder's signature authority per the Signature Authority Policy;
 - Purchases shall not be broken into smaller purchases in order to meet the transaction limit; and
 - Exceptions to the "per transaction" limits require the approval of the Vice President Finance and Operations (VPFO).
- 3.4. The purchasing card shall be issued in the name of the authorized user of the card (cardholder). The card is not transferable and shall only be used by the designated cardholder.
- 3.5. Travel expenses shall be booked and paid for using the purchasing card, whenever possible.
- 3.6. The cash advance feature shall not be activated for University issued purchasing cards except in the following circumstance when it may be activated on a temporary basis over a predetermined number of days:
 - when the individual will be travelling on approved University business; and
 - A written request for cash advance activation has been received and approved by the Director Financial Services.

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3.7. The Purchasing Card shall not be used for the following:

- Personal expenses,
- Payment of salaries and wages or fees for independent consultants,
- Goods considered a capital expense,
- Equipment requiring prior approval from other department areas as per the Procurement Policy (i.e. capital equipment, furniture, renovation materials, IT equipment, AV/Media equipment, etc.)

3.8. Monthly limits for a cardholder shall be set by a cardholder's immediate supervisor and shall not exceed the lesser of:

- The manager/supervisor's signature authority on operating expenses per the Signature Authority Policy; or
- \$15,000

3.9. Exceptions to the monthly limits require the approval of the VPFO.

3.10. Purchasing card privileges may be revoked at any time under the authority of the Director Financial Services and/or the VPFO, if the cardholder does not comply with the terms and conditions outlined in this policy.

3.11. Cardholders who have not submitted their receipts and authorization within the required timelines may have their purchasing card placed on hold, preventing any new transactions, until such paperwork is received and reviewed by the Finance Department.

3.12. Upon transfer or termination from the Faculty, Department or the University, the cardholder will return the purchasing card to their manager/supervisor. The manager/supervisor will notify the Procurement Department immediately to cancel the purchasing card.

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4. RESPONSIBILITIES

4.1. Cardholders

The cardholder is responsible for:

- Complying with all applicable procurement and travel policies policy when purchasing goods and services;
- Retaining receipts, providing explanations and justifications for credit card transactions, coding all credit card transactions and verifying the correctness of all monthly activity statements including taking appropriate and timely action to identify and correct any errors;
- Providing manager/supervisor with the credit card statement and supporting original receipts every month for approval, in advance of deadlines; and
- Contacting the purchasing card company immediately if the card is lost or stolen and notifying Financial Services as soon as possible.

4.2. Managers/Supervisors

Managers/Supervisors who approve cardholder expenditures are responsible for:

- Reviewing the purchases on each statement every month;
- Approving purchases or taking actions to correct inaccurate or unapproved charges. The manager/supervisor signature indicates that all charges appearing for the cardholder have been reviewed, confirmed to be legitimate business expenditures incurred in compliance with applicable policies, and are approved for payment;
- Ensuring the statement is submitted to Financial Services within the deadlines established and Accounts Payable is informed as to any unapproved charges (when applicable); and
- Authorizing all necessary changes in writing including a cardholder's name, address, transaction limit and monthly limit subject to the terms and conditions outlined in this policy.

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4.3. Financial Services / Procurement Department

The Financial Services / Procurement Department is responsible for:

- Administration of the purchasing card process through a designated purchasing card coordinator including, but not limited to, the following:
 - a) Issuing cards
 - b) Updating files for each cardholder
 - c) Assisting in the resolution of problems
 - d) Processing updates or modifications to a cardholder's name, address, transaction limit and monthly limit;
 - e) Maintaining monthly transaction records
 - f) Acting as the primary University contact with the Purchasing Card Company, except when cards need to be reported as lost or stolen.
- Reviewing credit card statements submitted to confirm compliance with applicable policies and contacting approval manager/supervisor and cardholders where there are any potential issues, questions or concerns related to the charges or policy compliance
- Ensuring that all credit card statements are submitted with all required supporting documentation and approved by the appropriate authority
- Escalating policy compliance concerns to the Director Financial Services and/or the VPFO
- Processing payments for credit card statements in a timely manner.

Related Policies or Regulations

- Signing Authority Policy
- Procurement Policy
- Purchasing Card Procedures
- Travel Expense and Non-Travel Policy

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Travel, Meal and Hospitality Expense Policy

Category: Financial

Number: FI-05-01

Responsible Officer: Vice President of Finance and Operations

Responsible Office: Financial Services

Approval date: Board of Governors, [date latest was approved]

Last Updated: November, 2022

Next Review Date: October 2027

Review Period: Every five years or as circumstances or legislation warrants

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1. PURPOSE

This policy has been developed to:

- 1.1.1. Establish clear and consistent rules on travel, meal and hospitality expenditures; and
- 1.1.2. Set out the conditions under which expenses incurred for authorized travel on University business will be reimbursed.

2. SCOPE

This policy applies to all individuals who incur travel, meal and hospitality expenses in the fulfillment of work on behalf of Algoma University.

3. DEFINITIONS

“Hospitality” The provision of food, beverages, accommodation, transportation or other amenities at public expense to persons who are clients and guests of the University. Hospitality may also be extended to employees in certain circumstances which have been outlined in this policy.

“Prospective Employee” An individual who has made an application, whether written or oral, to Algoma University to become an employee.

“Travel” Business travel authorized by the appropriate signature authority and does not include commuting between a residence and the University.

“Gifts” include items such as flowers, cards, gift cards, donations in lieu of flowers, etc. Items which are excluded and cannot be reimbursed as a gift include cash, cheques, alcohol and meals at a restaurant.

“Honorariums” An honorarium is a small gift or cash offered on a non-routine basis to an individual to recognize or to acknowledge the contribution of gratuitous services to the University. This form of payment is recognized not as an equivalent value to a professional charge rate or opportunity cost, but as a token of appreciation. An

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Honorarium is not a fee for service negotiated between the individual providing services and the University representative seeking services (in such cases this would be a contract and the Procurement policy would apply).

4. POLICY

4.1. Administration

- 4.1.1. The University shall reimburse individuals for the cost of travel, meal and hospitality expenses in the fulfillment of job duties.
- 4.1.2. Individuals shall submit scanned copies of original itemized receipts and follow expense reimbursement procedures to be reimbursed.
- 4.1.3. Non-reimbursable expenses as outlined in this policy shall be considered personal expenses and the responsibility of the claimant.
- 4.1.4. Exceptions to this policy may be authorized at the discretion of the Vice President Finance and Operations (VPFO) or the President and Vice-Chancellor under the following conditions:
 - a) The individual has submitted their request along with a clearly documented rationale which describes the circumstances and reason for the request; and
 - b) The rationale is reviewed and recommended for approval by the Director of Finance or their designate.
- 4.1.5. Senior leadership shall be guided by the following principles when granting exceptions:
 - a) Trust – use discretion and latitude for employees and supervisors to act in a fair and reasonable manner.
 - b) Flexibility – management decisions respect the duty to accommodate, respond to persons' needs and interests, and consider unforeseen circumstances.

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- c) Stewardship – ensure consistent, fair, and equitable application of the policy giving consideration to all circumstances, while maintaining the shared responsibility for wise and prudent use of public resources.

4.1.6. Non-Reimbursable Expenses - the following expenses, which may be incurred during travel or hospitality events, are not eligible for reimbursement:

- charitable donations
- personal expenses, such as those incurred for the following:
 - when travelling with a companion, all related additional expenses (i.e travel costs, meals etc for a second individual)
 - personal items or services that an individual would normal incur on their own behalf such as sight-seeing, side trips, personal entertainment, souvenirs, spas, massages, haircuts, mini-bar, car washes, gifts;etc
 - personal items such as clothing, luggage, prescriptions, toiletries, newspapers and other reading materials.
 - traffic and parking violations;
 - lost luggage (airlines/railways/bus companies are responsible)
- upgrades to Business/First Class. Employees may choose to upgrade at their own expense;
- additional costs incurred when the employee makes voluntary changes to confirmed travel arrangements;
- “no-show” charges unless they are incurred as a result of business-related circumstances or extenuating personal circumstances. It is the individual’s responsibility to cancel any travel or guaranteed room reservation that is not going to be used. An explanation of the expense should be included with the expense claim;
- life insurance packages. The University’s own insurance policies include travel accident/ life insurance for employees travelling on

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business.

4.2. Accommodations

- 4.2.1. Individuals shall be reimbursed for hotel/motel accommodations in a standard room.
- 4.2.2. Reimbursement for overnight accommodation in proximity to an individual's home campus location shall not be reimbursed.
- 4.2.3. For extended stays at one location, long-term accommodation shall be arranged to take advantage of lower weekly or monthly rates.
- 4.2.4. Private stays with family or friends is an option available to University staff and employees. A maximum of \$50 per night for gratuitous lodging expenses is allowed. No receipt is required.
- 4.2.5. Travelers are required to always ask for the corporate rate and aim to call hotels directly or via a University appointed travel agency (if applicable) rather than book through a third party site. When a conference to be attended is held in a hotel where special discount room rates are available, then the traveler shall stay at the designated hotel(s) or another comparably economical option.

4.3. Meals

- 4.3.1. The University shall reimburse individuals for the cost of meals while traveling on pre-approved University business and while attending conferences, subject to the meal allowance rates and claim requirements set out in Appendix A.
- 4.3.2. Alcohol is not a reimbursable expense
- 4.3.3. No reimbursement or meal allowance shall be made for meals consumed at home prior to departure or on return, or for meals included in the cost of transportation, accommodation, seminars and/or conferences.
- 4.3.4. The most senior staff member in attendance shall pay for the meal

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expense to ensure proper expense authorization takes place.

4.3.5. Unless otherwise agreed to in an applicable collective agreement, the University shall reimburse employees for meal expenses (subject to the allowance rates set out in Appendix A) which are incurred while working overtime under the following conditions:

- employees are participating in work-planning meetings, technical advisory committees or other work sessions over meal hours which could not have been scheduled during regular working hours; or
- an employee is required to work overtime and has not been given notice of such overtime on the prior day or before.

4.4. Travel - General

4.4.1. Individuals shall first ensure that travel is necessary, supports the strategic goals or outcomes of the University, and is economical. Alternatives to travel, such as teleconferencing and videoconferencing, shall be considered and utilized whenever appropriate.

4.4.2. Travel shall be planned in advance wherever possible to ensure costs are kept to a minimum.

4.4.3. The following approvals are required prior to travel:

- the employee's immediate supervisor; and
- the Dean/Director to whom the employee reports for travel within the province of Ontario; or
- the Vice-President to whom the employee reports for travel within North America; or
- the Vice-President to whom the employee reports and the President for travel outside North America.
- For the President's own travel, prior approval by the Board Chair

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or Vice-Chair is required.

- 4.4.4. In determining the number of senior personnel traveling together in the same vehicle (plane, train, or automobile), consideration should be given to business continuity needs in order to reduce the risk of a major disruption in the University's operations.
- 4.4.5. Travellers shall not use University travel to participate in personal loyalty programs (eg. frequent flyer programs). A separate loyalty account for University travel may be established and used to reduce cost of future travel on University business.
- 4.4.6. Individuals shall use a University issued purchasing card whenever possible while travelling on University business.
- 4.4.7. The cost of currency conversion shall be reimbursed. Where currency conversion rates are unclear, the average currency conversion rate for the period traveled shall be used.
- 4.4.8. Individuals who require cash advances for anticipated out-of-pocket expenses that cannot be charged on the purchasing card may request travel advances.

4.5. Travel - Road Transportation

Personal Vehicle

- 4.5.1. The University shall pay a Kilometrage allowance, as set out in Appendix A, for the use of an individual's personal vehicle while driving on behalf of the University. Kilometrage allowances are inclusive of all operating costs (gasoline, repairs, insurance, etc.).
- 4.5.2. An employee may choose to use their personal vehicle in lieu of air/rail/bus transportation when it is the most practical and economical way to travel. In this situation, reimbursement will be limited to the lesser of:
 - an amount equal to the total kilometre allowance plus any road or bridge tolls, hotel accommodation, and meals en route. or

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- an amount equal to the total cost of coach/economy fare plus cost of travel to and from the airport/ railway or bus station.
- 4.5.3. Commuter expenses for travel between an employee's home and their regular University campus are not reimbursable.
- 4.5.4. University employees shall not use personal vehicles while travelling with students. Travel with students shall require the use of rental vehicles with appropriately insured drivers.
- 4.5.5. Personal vehicles used on behalf of the University shall be insured at the vehicle owner's expense. The University assumes no financial responsibility for privately owned vehicles other than paying the kilometric rate when used for University business. Those driving a personal vehicle on University business cannot make claims to the University for deductible amounts or for damages as a result of a collision.
- 4.5.6. Bridge, ferry and highway tolls and necessary parking fees paid while driving on University business will be reimbursed. Receipts must be obtained and submitted wherever available.
- 4.5.7. Charges for long-term parking at airports, rail or bus facilities will be reimbursed in circumstances where these charges are less expensive than the cost of a taxi to and from the facility.

Rental Vehicle

- 4.5.8. A vehicle may be rented when it is necessary or more economical than other transportation options for the stated purpose of travel.
- 4.5.9. The vehicle should be the most economic and practically sized, considering the purpose of the rental, number of occupants and safety considerations. Luxury and sports car rentals are prohibited.
- 4.5.10. The rental car must be refueled wherever possible before returning it, in order to avoid higher gasoline charges imposed by the rental car agency.
- 4.5.11. Any personal portion of the cost of a rental car must be subtracted from the total rental bill before requesting reimbursement. The personal portion is calculated by prorating the cost of the rental over the number of days

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for personal use and number of days for business use.

- 4.5.12. Optional extra insurance coverage offered by the rental agency is only reimbursable when renting a vehicle outside of North America. The University's existing general liability insurance covers vehicle rentals within North America.

Other Modes of Transportation (taxi, carshare, public transportation, etc)

- 4.5.13. The University shall reimburse the per kilometrage for the use of carshare vehicles (i.e. zipcar, autoshare, etc), taxicabs and similar services when such vehicles are used for University business in the following situations:
- for transportation to and from business meetings off campus or at other campus locations
 - during out of town travel
 - transportation to and from the airport (airport car services are also permitted)
- 4.5.14. An airport shuttle bus or hotel shuttle service shall be used for transportation to or from an airport, train or bus station, when available, economical, and practical.
- 4.5.15. Reasonable small expenditures (meter parking, train/bus fares, etc.) may be claimed. Receipts, proof of ticket are required whenever available.
- 4.5.16. Reimbursement for taxicabs between home and the University may be claimed only where justified by exceptional circumstances and when approved in advance by a supervisor. Such circumstances include:
- When health or safety warrants; or
 - When the transport of work-related baggage or parcels is required.

4.6. Travel - Air/Rail/Bus Transportation

- 4.6.1. The University shall reimburse the economy/coach fare. The most economical and practical way to travel shall be selected in each case.

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- 4.6.2. For domestic and international flights, the standard class of service is the least expensive economy class fare.
- 4.6.3. Upgrades to Business Class (or Premium Economy) may be authorized with prior approval from the President when the following conditions apply:
 - a) an individual is travelling outside North America on university business; and
 - b) the total elapsed flight time of the most direct route is more than six (6) hours.
- 4.6.4. Travel shall be arranged well in advance and be booked by fixed dates; open-ended tickets are prohibited.
- 4.6.5. If a ticket has to be changed and a penalty or administrative fee is incurred, the individual may claim reimbursement from the University.

4.7. Travel - Other

- 4.7.1. Gratuities - for meals, bellhop, hotel room services and taxicabs will be reimbursed to a maximum of 18%. Although receipts are not necessary to support reimbursement of these expenses, they should be itemized on the expense claim form and receipts shall be included when available.
- 4.7.2. Dependent Care - Actual dependant care expenses that are incurred as a result of travelling and that are additional to the expenses the person would incur when not travelling will be reimbursed up to a daily maximum as set out in Appendix A. Reimbursement will not be made where business travel is regular and a requirement of the job.
- 4.7.3. Additional Business Expenses - additional business expenses incurred while travelling not otherwise covered will be reimbursed, such as business calls, computer access and internet charges, photocopying, etc. provided the charges are incurred while conducting University business. Travelers should use the least expensive means of obtaining internet

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access while traveling.

- 4.7.4. Incidental Expenses - Reasonable small expenditures, where it is either impractical or impossible to acquire receipts, may be claimed. Such expenditures would include such items as meter parking, subway tokens, laundry and dry cleaning services (if away for five or more consecutive days), etc.
- 4.7.5. Visas, immunizations and medications - Reimbursement will be made for costs of visas and required/recommended immunizations or medications for travel outside North America.

4.8. Insurance

- 4.8.1. Travel Accident Insurance - Full-time employees have basic insurance for accidental injury or death, and reimbursement of emergency medical expenses. Extra insurance may be arranged only at the traveller's own expense.
- 4.8.2. Trip Cancellation, Lost Luggage Insurance - Trip cancellation and lost luggage insurance may be purchased, unless such insurance is provided by the credit card or travel agency used.

4.9. Hospitality

- 4.9.1. Individuals shall incur hospitality expenses only when it is economical and appropriate to do so.
- 4.9.2. Hospitality shall be extended when it will facilitate University business or is considered desirable as a matter of courtesy and shall be considered both economical and appropriate to the circumstances.
- 4.9.3. Hospitality may be extended on behalf of the University in the following circumstances
 - Relationship building, fundraising events, student or employee recruitment, and discussions of official matters with individuals who are not Algoma University employees,

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- Engaging representatives of other Universities, the broader University sector, research industry, University interest groups or unions in discussions on official matters;
- Conducting prestigious ceremonies that are attended by heads of organizations, political dignitaries, or distinguished persons from the private sector.

4.9.4. Individuals shall act as University representatives at a hospitality event only if they have direct involvement in the business purpose of the event. The host extending the invitation must document and justify the list of University representatives.

4.9.5. Part of normal business hospitality may include the consumption of alcoholic beverages with a meal or during a reception. Reimbursement for the cost of alcohol is permitted for hospitality events only with the prior approval of the President. The cost of alcoholic beverages cannot exceed the cost of food.

4.10. Honorariums

4.10.1. Honorariums of nominal value (up to \$100 per instance) may be provided to individuals who are contributing gratuitous services to the University. For cultural advisory and ceremonial services it is customary and permitted to offer ceremonial tobacco or other culturally appropriate gifts in addition to a cash honorarium and would not require additional approval.

4.10.2. Honorariums valued at greater than \$100 but below \$500 may be offered with the prior approval of the Vice President of the division requesting the honorarium and the Vice-President Finance and Operations.

4.10.3. Honorariums valued at \$500 or greater are prohibited. Exceptions may be considered in rare and special circumstances with the prior approval of the Vice President, Finance and Operations and the President.

4.10.4. A Statement of Pension, Retirement, Annuity, and Other Income (T4A) or a Statement of Fees, Commissions, or Other Amounts Paid to Non-Residents for Services Rendered in Canada (T4A-NR) shall be

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issued to all individuals who have received honorariums totalling \$500 or greater in a calendar year per Canada Revenue Agency requirements.

4.11. Gifts of Appreciation

- 4.11.1. Token gifts of appreciation of nominal value (up to \$100) may be provided as part of hospitality to persons as part of hospitality while travelling and/or when culturally appropriate to do so.
- 4.11.2. Supervisors may use University funds to purchase gifts of nominal value (i.e. up to \$100), including flowers, for an employee in the following specific circumstances:
 - The birth or adoption of an employee's child;
 - a significant illness of an employee;
 - the death of an employee or a member of their immediate family.
- 4.11.3. When a department wishes to acknowledge other life events (such as marriage, birthdays, etc) with a gift, the cost of the gift shall be covered through individual contributions. These are considered personal expenses.
- 4.11.4. The University recognizes years of service and retirements of its employees centrally through planned organized events at designated intervals. Should a department wish to further celebrate these milestones for an employee in their team, the cost of the additional celebration shall be covered through individual contributions and are considered personal expenses.
- 4.11.5. There may be other circumstances that warrant appreciation of employees, such as recognizing outstanding achievements, completion of a major project, etc. The department management may, at its discretion, use operating funds up to a nominal value of \$100 to pay for a cake and /or coffee service or other type of refreshment to be used in a celebration, as long as it is reasonable and infrequent.
- 4.11.6. Once per year, Administrators are encouraged to host a social event with their department. A budget of \$25.00 per full-time employee is permissible

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for such an event with prior approval from a Vice President.

- 4.11.7. Exceptions regarding hospitality at the University must have prior written approval of the President.

5. Roles and Responsibilities

- 5.1. Individuals who incur travel, meal and hospitality expenses are responsible and accountable for:

- adhering to the provisions of this policy;
- obtaining prior approval from appropriate authority for travel, meal and hospitality expenses
- using the University's designated service providers (when and if applicable)
- tracking their personal vehicle mileage and ensuring the accurate kilometrage amount is claimed.
- supplying an itinerary to and notifying their supervisors in the event of any changes, so that travelers may be contacted in an emergency;
- planning travel in advance, securing passports and visas, and obtaining required/recommended immunizations or medications well in advance of travelling;

- 5.2. The Finance department is responsible for:

- Supporting individuals involved in travel activities and decision making and
- processing travel claims, verifying receipts, and ensuring all activity is compliant with this policy

- 5.3. The Vice-President of Finance and Operations (VPFO) is responsible for:

- Approving exceptions to the policy
- reviewing and updating this policy from time to time as required.

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Appendix A: Reimbursement Rate Schedule

Kilometrage Allowance

The allowance will be set at the Canada Revenue Agency's 2022 reasonable allowance rates as follows:

Total KMs per driver per fiscal year (May 1- April 30)	Rate
0 to 5,000	\$0.61
5,001 and above	\$0.55

Meals Allowance

Meal expenses will be paid, based on receipts, up to the limit of the applicable meal allowance listed below, which are inclusive of taxes and gratuities.

	In Canada/USA ¹
Breakfast	\$25.00
Lunch	\$25.00
Dinner	\$50.00
Total Daily Allowance	\$100.00

¹ The same rates apply for travel in the USA but are applied in \$US dollars

Claim requirements:

- 1) For a full-day of meal claims (i.e., breakfast, lunch and dinner), employees have the discretion to allocate the daily total three-meal rate of \$100 among meals.
- 2) For less than a full-day of meal claims (i.e., one or two meals), employees are to be guided by the above meal rates, in Canadian currency.
- 3) Meal allowances are to be claimed either as actual expenses or the maximum allowance, whichever is less.
- 4) For travel outside of North America, reimbursement of meal allowances will be made at rates equal to those published by the Canada Revenue Agency ([Appendix C: Daily Meal Rates at Locations Abroad - Canada.ca](#)) at the time the travel expenses were

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incurred.

- 5) Amounts expended on Alcohol are the responsibility of the claimant and will not be reimbursed.
- 6) For travel durations of seven consecutive days or more, a per diem meal allowance equal to the total daily allowance may be claimed for the duration of travel, receipts are not required.

Private Non-commercial accommodation:

A maximum of \$50.00 per night for private, non-commercial accommodation is permitted. No receipt is required.

Dependant Expenses

Daily Maximum with written declaration: \$35.00 Daily Maximum with receipt of caregiver: \$75.00

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Financial Performance: Draft Audited Pension Plan Financial Statements - June 30, 2022

OPEN AGENDA

Meeting Date: November 24, 2022

Action: Approval

PREPARED BY:

Kramer Rousseau, Director Financial Services

PURPOSE OF REPORT

Risk and Finance Committee to review and recommend to the Board of Governors the approval of the Algoma University Pension Plan Financial Statements for the year ended June 30, 2022.

RELATED DOCUMENTS

1. [Appendix A](#) - Draft AU 2021-22 Pension Plan Financial Statements

STRATEGIC PRIORITY ALIGNMENT

5. Institutional Excellence: facilitate the ongoing improvement of the University by focusing on problem solving, teamwork, and leadership.

BACKGROUND

The Algoma University Pension Plan is a defined benefit pension plan that has been closed to new members since 2006. Up until that time, employees in either the full-time faculty or administration employee groups were eligible for membership.

As part of the regulatory reporting the Board of Governors, approval is required prior to being sent to the Financial Service Commission of Ontario (FSCO) prior to December 31, 2022.

CURRENT STATUS

The following are the highlights of the draft audited financial statements - June 30, 2022, when comparing year over year:

Statement of Net Assets Available for Benefits

Overall the net assets available for benefits decreased from \$31.4M to \$28.3M

- The contribution receivables for the current year includes contributions for May and June. The slight decrease is due to having two fewer contributing members in June 2022 compared to June 2021.
- Managed assets decreased by \$2.9M to a balance of \$28.6M
- The liabilities consist mainly of quarterly costs for both actuarial (\$155K) and investment management (\$125K) fees.

Statement of Changes in Net Assets Available for Benefits

Overall the net decrease in net assets for the year was \$3.1M.

- Investment income of \$989K and realized gains of \$855K were offset by the downward fluctuation of the market which resulted in \$3.8M unrealized loss for a net investment loss of \$2.0M.
- Total contributions decreased \$162K due to retirements in the current year.



- Total decrease in net assets of \$1.7M was 15% above prior year, mainly due to additional pension benefits being paid.

Notes to the Financial Statements

Some note disclosure to highlight include the following:

- Note 2 - Table 1 - Managed Investments - The market and book values of the assets within the plan are illustrated in this note and have a market value greater than book value by \$654K
- Note 2 - Table 2- Statutory Disclosure - outlines the asset mix of the pension plan as at June 30, 2022 and it meets the acceptable target levels as per the Statement of Investment Policies and Procedures (SIPP).

FUTURE STATUS

Management will continue to work with the Pension Advisory Committee (PAC) in its advisory role of monitoring the administration of the plan, making recommendations in the administration of the pension, and promoting awareness and understanding of the pension plan. The audited pension plan financial statements will be presented at the next PAC meeting.

ACTION

MOTION: "That the Board of Governors approves the June 30, 2022 Pension Plan Financial Statements."

Algoma University - Pension Plan
Statement of Net Assets Available for Benefits
As at June 30, 2022 and June 30, 2021

	Notes	June 30, 2022	June 30, 2021
Assets			
Contribution receivable			
Employee		\$ 16,539	\$ 22,596
Employer		59,894	72,797
		76,433	95,393
Managed investments			
	2	28,573,692	31,474,632
		28,650,125	31,570,025
Liabilities			
Accrued administrative expenses			
	3	346,696	186,684
Net assets available for benefits		\$28,303,429	\$31,383,341

On behalf of the Pension Plan

Mike Moraca, Chair

Elaine Pitcher, Vice-Chair

Algoma University - Pension Plan
Statement of Changes in Net Assets Available for Benefits
For the years ended June 30, 2022 and June 30, 2021

	Notes	June 30, 2022	June 30, 2021
Increase in net assets:			
Income			
Investment income	4	\$ 988,559	\$ 923,323
Net realized gain on sale of investments		854,670	570,122
Net unrealized gains (losses)		(3,811,191)	3,501,615
		(1,967,962)	4,995,060
Contributions			
Employer - current service		212,560	322,508
Employer - contribution towards unfunded actuarial liability		296,000	296,000
		508,560	618,508
Employee - current service		99,794	151,412
		608,354	769,920
Total increase in assets		(1,359,608)	5,764,980
Decrease in net assets:			
Administrative expenses:			
Investment management		116,277	120,205
Actuarial		77,448	87,595
Custodial fees		44,398	39,281
Ministerial fees and other		19,312	20,051
Audit		9,563	8,527
		266,998	275,659
Pension benefits		1,453,306	1,217,092
Total decrease in assets		1,720,304	1,492,751
Net (decrease) increase in net assets		(3,079,912)	4,272,229
Net assets available for benefits, beginning of year		31,383,341	27,111,112
Net assets available for benefits, end of year		\$28,303,429	\$31,383,341

On behalf of the Pension Plan

Mike Moraca, Chair

Elaine Pitcher, Vice-Chair

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

The Algoma University Pension Plan ("the Plan") is a defined benefit pension plan and provides benefits based on length of service and best average earnings. The Plan is registered in Ontario under the Pension Benefits Act registration number 0575209. Effective July 1, 2006, the Plan was closed to new members.

1. Summary of significant accounting policies

Basis of presentation

The financial statements have been prepared in accordance with the significant accounting policies set out below to comply with the financial reporting provisions of Section 76 of Regulation 909 to the Pension Benefits Act, 1990 (Ontario) as required by the Financial Services Regulatory Authority of Ontario. These regulations require pension plans to adhere to the provisions of Section 4600 - Pension Plans in Part IV - Accounting Standards for Pension Plans of the Chartered Professional Accountants (CPA) Canada Handbook, although they permit the exclusion of the actuarial liabilities of the Plan. Consequently, these financial statements do not purport to show the adequacy of the Plan's assets to meet its pension obligations. As the financial statements do not include the pension obligations, these financial statements are pension fund financial statements. For accounting policies that do not adhere to the Plan's investment portfolio, the Plan has elected to apply Canadian accounting standards for private enterprises.

Contributions and funding policy

Contributions are recognized on the accrual basis of accounting.

Members are required to contribute 8% of their compensation to the Plan subject to the maximum contribution limits permitted under the Income Tax Act. Algoma University, as plan sponsor, is required to contribute the funding necessary to ensure that benefits will be fully provided. The determination of the value of these benefits is made on the basis of a periodic actuarial valuation prepared at least once every three years.

Members can also make additional voluntary contributions to the Plan. Voluntary contributions are not matched, in whole or in part, by the University.

Pension benefits

Pension benefits are shown as expenditures in the year of payment.

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

1. Summary of significant accounting policies (continued)

Investments

Investments are stated at fair value. In determining fair values, adjustments have not been made for transaction costs as they are not considered to be significant. The change in the difference between the fair value and cost of investments at the beginning and end of each year is reflected in the statement of changes in net assets available for benefits as net unrealized gains.

Pooled fund investments are valued at the unit values supplied by the pooled fund administrator, which represent the Plan's proportionate share of underlying net assets at fair values determined using closing market prices.

Net realized gain on sale of investments

The net realized gain on sale of investments is the difference between proceeds received and the average cost of investments sold.

Investment income

Investment income which is recorded on the accrual basis, includes interest income and dividends.

Foreign currency translation

The fair values of foreign currency denominated investments included in the statement of net assets available for benefits are translated into Canadian dollars at year-end rates of exchange. Gains and losses arising from translations are included in net unrealized gains (losses). Foreign currency denominated transactions as well as cost amounts included in Note 2 to the financial statements, are translated into Canadian dollars at the rates of exchange on the dates of the related transactions.

Actuarial valuation

For the purpose of review of the defined benefit, actuarial valuations are made every three years. The date of the last actuarial on July 1, 2021 was prepared by Willis Towers Watson. This valuation showed a going concern surplus of \$2,999,000 and a solvency surplus of \$1,244,000. The next actuarial valuation is being completed as at July 1, 2024 and will be available by June 30, 2025.

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

1. Summary of significant accounting policies (continued)

Income tax status

The Plan is a Registered Pension Trust as defined by the Income Tax Act (Canada) and, as such, is not subject to income taxes.

Use of estimates

The preparation of financial statements requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements, and the reported amounts of increases and decreases in assets during the reported period. Actual results could differ from management's best estimate as additional information becomes available.

2. Managed investments

	2022		2021	
	Market	Cost	Market	Cost
PH&N Cdn Bond Fund	\$12,653,340	\$14,612,072	\$13,171,019	\$13,260,937
BonaVista Cdn Equity Fund (PH&N)	9,918,543	8,368,639	11,550,570	9,427,124
PH&N US Equity Fund	3,021,921	2,211,277	3,387,467	2,110,202
PH&N Overseas Equity Fund	2,979,882	2,727,447	3,365,576	2,210,927
PH&N Cdn Money Market Fund	-	-	-	-
Cash	6	6	-	-
	\$28,573,692	\$27,919,441	\$31,474,632	\$27,009,190

The manager of the funds is RBC Global Asset Management Inc. The trustee is RBC Investor & Treasury Services.

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

2. Managed investments (continued)

The Statement of Investment Policies and Procedures ("SIPP") establishes a target mix among fixed income, equity, and short-term investments to ensure diversification across assets and classes with the following actual results

	Range	Target	2022	2021
Fixed income	25% to 65%	45%	44.3%	41.8%
Canadian Equity	30% to 70%	35%	34.7%	36.7%
US Equity	0% to 30%	10%	10.6%	10.8%
Global Equity	0% to 30%	10%	10.4%	10.7%
Money Market	0% to 10%	0%	0%	0%
Cash	0% to 10%	0%	0%	0%

3. Accrued administrative expenses

	2022	2021
Investment management fees	\$124,794	\$66,520
Actuarial fees	155,219	73,965
Custodial fees	11,762	11,570
Audit fees	25,967	16,059
Minister of finance fees	2,238	1,488
Pension benefits guarantee fee	56,994	37,967
HST recoveries	(30,278)	(20,885)
	\$346,696	\$186,684

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

4. Investment income by investment category

	2022	2021
Canadian Fixed Income Fund	\$387,261	\$500,186
Canadian Equity Fund	510,488	335,723
United States Equity Fund	30,652	44,577
Global Equity Fund	60,158	42,837
Canadian Pooled Money Market Fund	-	-
	\$988,559	\$923,323

5. Capital risk management

The Plan considers its capital to be its net assets available for benefits. The Plan's objective when managing capital is to sustain a certain level of net assets in order to meet the pension obligations of the University, which are not presented or discussed in these specified purpose financial statements. The Plan fulfils its primary objective by adhering to the specific investment policies outlined in its SIPP, which is reviewed annually by the management of Algoma University and was last amended in February 2020.

The Plan manages net assets by engaging investment managers who are charged with the responsibility of investing new and existing funds in accordance with the approved SIPP. The investment goal of the Fund is to achieve a rate of return, after deducting management fees, equal to 100% of the annual change in Consumer Price Index for Canada plus 4.0% when calculated as an annual compounded rate over a complete capital market cycle.

There has been no changes in what the Plan considers to be its capital and there has been no significant changes to the Plan's capital management objectives, policies and processes in the year.

Although there are no regulatory requirements relating to the level of net assets and/or funding to be maintained by the Plan, the Plan is required to file financial statements to the Financial Services Regulatory Authority of Ontario as well as files an Annual Information Return with the Minister of Finance, Revenue Operations and Client Services Branch.

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

6. Financial risk management

Investments are exposed to market price, liquidity, foreign currency, credit and interest rate risks. These risks have been assessed with no change from the prior year. The Plan has formal policies and procedures to monitor this risk exposure.

a) Liquidity risk

Liquidity risk is the risk that the Plan will not be able to meet its financial obligations because of an inability to liquidate assets. The Plan's approach to managing liquidity is to evaluate current and expected liquidity requirements to ensure that it maintains sufficient cash and cash equivalents to meet its liquidity requirements in the short and longer term. All of the Plan's investments are in liquid securities traded in the public market and can be readily disposed of, assuming orderly markets.

b) Foreign currency risk

Foreign currency risk is the risk that the fair value or future cash flows of an investment will fluctuate because of changes in foreign exchange rates. Foreign currency exposure arises from the Plan holding investments denominated in currencies other than the Canadian dollar. The exposure to currency risk at June 30, 2021 is significant but indirect due to the Plan's investment in US and Global pooled funds.

c) Market price risk

Market price risk is the risk that the fair values or future cash flows of an investment will fluctuate because of changes in market prices (other than those arising from foreign currency risk and interest rate risk), whether those changes are caused by factors specific to an individual investment or its issuer or factors affecting all similar securities traded in the market. All investments present a risk of loss of capital. The maximum risk resulting from investments is equivalent to their fair value. As all of the Plan's investments are carried at fair value with fair value changes recognized in the statement of change in net assets available for benefits, all changes in market conditions will directly result in an increase (decrease) in net assets.

An immediate hypothetical decline of 10% in values of the pooled funds will impact the Plan's investments by an approximate loss of \$2,857,000 (2021 - \$3,147,000).

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

6. Financial risk management (continued)

d) Interest rate risk

Interest rate risk refers to the risk that the value of a financial instrument will fluctuate due to changes in market interest rates. The Plan is exposed to interest rate risk associated with its investments. Investments are diversified and held with reputable parties in order to manage this risk.

Interest rate risk is the sensitivity of the Plan's financial position to movements in market interest rates. The SIPP has established restrictions on concentration, which are designed to mitigate the risk of interest rate volatility.

While the Plan has interest rate risk, the risk to the Plan is indirect in nature as the Plan is not directly holding any interest sensitive investments.

e) Credit risk

Credit risk is the risk that an issuer or counterparty will be unable or unwilling to meet a commitment that it has entered into with the Plan. The maximum credit risk exposure as at June 30, 2022 represents the total value of the investments.

The SIPP establishes the minimum quality standard of "BBB" for individual bonds, while requiring that at least 95% of the market value of short-term securities have a credit rating of at least A or its equivalent.

Fair Value Hierarchy

The Plan uses a fair value hierarchy in order to disclose the Plan's financial assets and financial liabilities that are measured at fair value in the statement of net assets available for benefits.

The fair value hierarchy has the following levels:

- Level 1 – quoted market prices in active markets for identical assets or liabilities;
- Level 2 – inputs other than quoted market prices included in Level 1 that are observable for the asset or liability either directly (as prices) or indirectly (derived from prices); and,
- Level 3 – unobservable inputs such as inputs for the asset or liability that are not based on observable market data.

Algoma University - Pension Plan

Notes to Financial Statements

For the years ended June 30, 2022 and 2021

6. Financial risk management (continued)

e) Credit risk (continued)

The level in the fair value hierarchy within which the fair value measurement is categorized in its entirety is determined on the basis of the lowest level input that is significant to the fair value measurement in its entirety.

As at June 30, 2022, all investments are Level 1 within the fair value hierarchy. There were no transfers between levels during the year.

7. COVID-19

The global COVID-19 pandemic has disrupted economic activities and supply chains. Although the disruption is expected to be temporary, given the dynamic nature of these circumstances, the duration of business disruption and the related financial impact on the Plan's investments cannot be reasonably estimated at this time. The pension plan continues to operate throughout these unprecedented times. The long term impact of the COVID-19 pandemic cannot be determined at this time.



Financial Performance: August 2022 Internal Financial Statements

OPEN AGENDA

Meeting Date: November 24, 2022
Action: Information

PREPARED BY:

Kramer Rousseau, Director Financial Services

PURPOSE OF REPORT

To provide an update on Algoma University's ("University") consolidated financial position for the four months ended August 30, 2022 to the Risk and Finance Committee ("Committee")

RELATED DOCUMENTS

1. Appendix A - Aug 2022 Dashboard.pdf
2. Appendix B and C - Aug 2022 Financial Sta...

STRATEGIC PRIORITY ALIGNMENT

5. Institutional Excellence: facilitate the ongoing improvement of the University by focusing on problem solving, teamwork, and leadership.

BACKGROUND

Per the Committee's Terms of Reference and work plan, the Committee will "monitor and examine the on-going financial performance of the University."

CURRENT STATUS

Dashboard Summary

As at August 30 2022, the following are highlights of the Finance Dashboard:

- Enrolment of 1,010.4 Full Time Equivalent (FTE) students, compared to 1,035.0 in the budget and 678.3 in the prior year.
- International certificate enrolment of 729.8 FTE, which represents 72.2% of total enrolment and recognized \$14.2M in tuition revenue.
- International deposit conversion rate of 26%, compared to the budget of 30%.
- 241 courses running with an average class size of 41, which is higher than budgeted average class size of 35.
- Net Surplus of \$4.9M, compared to \$494K budget.

A summary for the Consolidated Financial Statements for the year ended April 30, 2022:

Consolidated Statement of Financial Position:

Comparing balances at August 31, 2022, to April 30, 2022, the following variances are noted:

- Cash balance of \$159.6M, an increase of \$66.9M, which consists of \$67.7M of cash inflow from operating activities, offset by \$666K of investment in capital assets and 105K repayment of long term debt.
- Capital assets decrease of \$792K, comprising \$666K in capital asset investments, offset by amortization.
- Increase in fees received in advance of \$60.0M. A large part of the deferral is related to the deferral of Professional and Continuing Education Students from Spring to Fall semester. As well as additional deposits received for the 2022 Fall Semester and 2023 Winter Semester.



Consolidated Statement of Operations

Variance to Budget

Overall, the excess of revenue over expenses for the four months ended August 31, 2022 was \$4.9M, compared to a budget of \$494K. This favourability is driven by increased interest revenue of \$713K, favourable salaries and benefits driven by vacancies of new hires as well as lower part time faculty cost with higher class sizes and favourable operating expenses some of which was driven by timing of events and travel.

Variances to prior year

Comparing the results to the prior year, the excess of revenue over expenses from operations increased by \$2.9M. Total revenue increased by \$9.1M, driven by a higher enrolment. Expenses increased by \$5.6M, driven by increased salaries and benefits with additional hires and increased part time faculty, as well as increased operating and research expenses related to having more activity on campus compared to the prior year.

Capital Expenditures

As at August 31, 2022, Algoma University has incurred \$666K in capital expenditures consisting of:

- \$150K related to design fees for Mukwa Waakaa'igan
- \$280K in IT initiatives, including implementation costs of the new student information system
- \$237K in projects funded by the facilities renewal program (FRP)

A summary of Capital Expenditures can be found in **Appendix C**.

FUTURE STATUS

Financial Services is currently undergoing LEAN training led by KPMG. Part of the training, which is centered around continuous improvement, is focused around the systems and processes and on the timeliness and accuracy of our internal financial statements and variance analysis. As we work through the LEAN training we anticipate to find many efficiencies that will help translate over to the new Finance System which is scheduled to go live by May 1, 2023.

ACTION

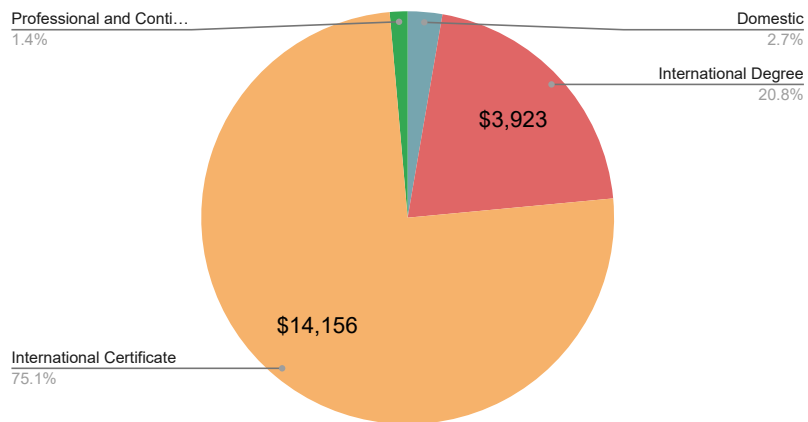
Not applicable.

Algoma University Finance Dashboard - August 2022

Enrolment - Full Time Equivalent	Actual	Budget	Prior Year
Spring	1,010.4	1,035.0	678.3
Fall	NA	1,445.5	1,233.5
Winter	NA	1,455.5	1,259.9
Total	1,010.4	3,936.0	3,171.7

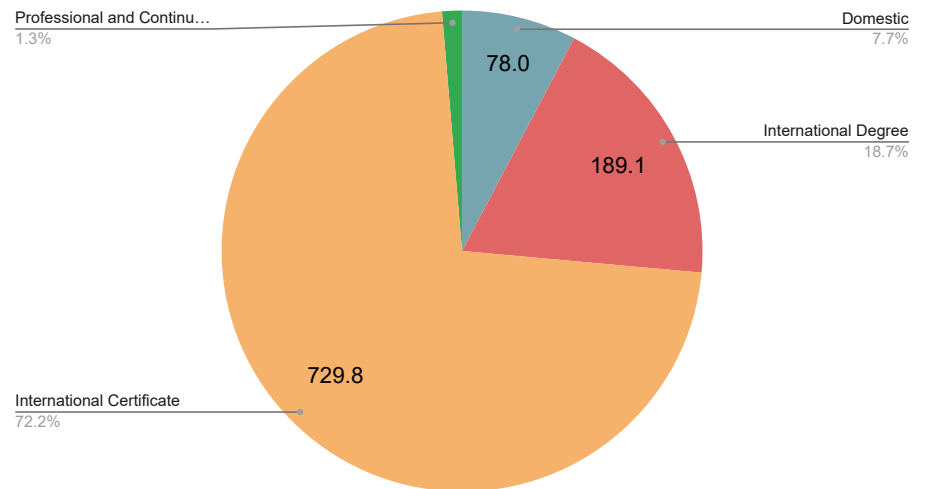
FTE Breakdown - <u>Spring</u>	Actual	Budget	Prior Year
Domestic	78.0	105.0	102.0
International Degree	189.1	180.0	164.7
International Certificate	729.8	600.0	411.6
Professional and Continuing Education	13.5	150.0	0.0
Total	1,010.4	1,035.0	678.3

Tuition revenue breakdown (thousands)



	Actual	Budget	Prior Year
Net Surplus (deficit)	4,933,236	494,069	2,020,466

Enrolment Breakdown



	Actual	Budget	Prior Year
International Deposit conversion rate	26%	30%	30%

Number of Courses	Actual	Budget	Prior Year
Spring	241	253	153
Fall	N/A	321	387
Winter	N/A	317	376
Total	241	891	916

	Actual	Budget	Prior Year
Average class size	41	35	35

Algoma University
Consolidated Statement of Financial Position
As at August 31 2022 and April 30, 2022

	August 31, 2022	April 30, 2022
Assets		
Current assets		
Cash	\$ 159,631,198	\$ 92,729,084
Short term investments	16,175,907	16,107,318
Accounts receivable fees	3,676,817	2,938,293
Accounts receivable other	3,955,521	4,074,080
Prepaid expenses and inventory	694,751	792,255
Total current assets	184,134,194	116,641,030
Non-current assets		
Investments	6,777,946	6,926,272
Capital assets	57,579,196	58,371,712
Total non-current assets	64,357,142	65,297,984
Total assets	\$ 248,491,336	\$ 181,939,014
Liabilities and Net Assets		
Current liabilities		
Accounts payable and accrued liabilities	6,655,602	5,826,702
Fees received in advance	136,469,718	76,461,721
Deferred gov grants, program and campaign revenue	22,690,952	21,001,319
Current portion of long term debt	322,658	317,673
Total current liabilities	166,138,930	103,607,415
Non-current liabilities		
Long term debt	4,456,284	4,566,353
Accrued pension liability	1,338,000	1,338,000
Deferred contributions - capital assets	34,496,388	35,298,748
Total non-current liabilities	40,290,672	41,203,101
Total liabilities	206,429,602	144,810,516
Net assets		
Unrestricted	23,122,174	18,188,938
Internally restricted	15,279,072	15,279,072
Endowments	3,660,488	3,660,488
Total net assets	42,061,734	37,128,498
Total liabilities and net assets	\$ 248,491,336	\$ 181,939,014

Algoma University
Consolidated Statement of Operations
For the four months ended August 31, 2022 and 2021

Student Full Time Enrolment	1010.4	885	125.4	14.2%	678.3	332.1	49.0%
	Actual	Budget	Variance \$	Variance %	Prior Year	Variance \$	Variance %
Revenue							
Student tuition	\$18,851,668	\$18,746,175	\$105,493	0.6%	\$11,807,787	\$7,043,882	59.7%
Government grants	5,838,782	5,413,534	425,248	7.9%	5,069,207	769,575	15.2%
Sales and services	1,034,304	1,177,073	(142,769)	-12.1%	651,436	382,868	58.8%
Research revenue	665,924	566,667	99,257	17.5%	440,489	225,435	51.2%
Foundation revenue	96,841	83,333	13,508	16.2%	59,478	37,364	62.8%
Miscellaneous income	1,215,305	548,206	667,099	121.7%	705,643	509,662	72.2%
Amort of deferred capital contributions	802,360	802,358	2	0.0%	677,171	125,189	18.5%
	28,505,185	27,337,346	1,167,839	4.3%	19,411,211	9,093,974	46.8%
Expenses							
Salaries and benefits	11,704,359	12,866,622	1,162,263	9.0%	9,870,593	(1,833,766)	-18.6%
Advertising and communication	2,752,751	2,772,933	20,182	0.7%	2,272,705	(480,046)	-21.1%
Amortization	1,458,832	1,458,833	1	0.0%	1,207,266	(251,566)	-20.8%
Occupancy	1,086,116	1,442,921	356,805	24.7%	648,616	(437,500)	-67.5%
Scholarships and bursaries	2,003,545	1,502,885	(500,660)	-33.3%	1,094,203	(909,342)	-83.1%
Operating and research	4,377,144	6,771,956	2,394,812	35.4%	2,576,548	(1,800,596)	-69.9%
Interest	27,127	27,127	0	0.0%	97,692	70,565	72.2%
	23,409,873	26,843,277	3,433,404	12.8%	17,767,623	(5,642,250)	-31.8%
Excess of revenue over expenses from operations	5,095,312	494,069	4,601,243	931.3%	1,643,588	3,451,725	210.0%
Unrealize gain (loss) on investments	(162,077)	0	(162,077)	-%	376,878	(538,955)	-143.0%
Net surplus (deficit)	\$4,933,236	\$494,069	\$4,439,167	898.5%	\$2,020,466	\$2,912,770	144.2%

Algoma University

Consolidated Statement of Cash Flows

For the four months ended August 31, 2022 and year ended April 30 2022

	August 2022	April 2022
Cash flows from operating activities		
Excess of revenue over expenses	\$ 4,933,236	\$ 9,640,316
Items not involving cash		
Amortization of tangible capital assets	1,458,832	3,656,750
Unrealized gain (loss) on investments	162,077	667,442
Accrued interest income	(68,589)	
Amortization of deferred contributions	(802,360)	(2,024,848)
	5,683,195	11,939,660
Changes in non-cash working capital balances		
Accounts receivable - fees	(738,524)	(809,085)
Accounts receivable - other	118,559	(1,603,032)
Prepaid expenses and inventory	97,504	(385,091)
Accrued pension obligation (net of changes in measurement)	0	4,416,000
Accounts payable and accrued liabilities	828,900	(893,140)
Fees received in advance	60,007,997	57,214,923
Deferred government grants and program revenue	1,689,633	359,323
	67,687,264	70,239,558
Cash flow from investing activities		
Purchase of tangible capital assets	(666,316)	(9,427,353)
Reinvested investment income	(13,751)	(562,817)
Sale (purchase) of investments	0	(16,073,776)
	(680,066)	(26,063,946)
Cash flow from financing activities		
Repayment of long term debt	(105,084)	(6,437,570)
Deferred capital contributions received	0	3,618,321
	(105,084)	(2,819,249)
Increase in cash and cash equivalents	66,902,114	41,356,363
Cash and cash equivalents, beginning of year	92,729,084	51,372,721
Cash and cash equivalents, end of year	\$ 159,631,198	\$ 92,729,084

Algoma University
Capital Spend
For the four months ended August 31, 2022

	Actual	Budget
Mukwa Waakaa'igan	149,710	12,500,000
SCIE and expansion of the School of Business and Economics	0	750,000
	149,710	13,250,000
Rennovations and Space Improvements		
AUSU Office/ Recruitment/ Nest	0	3,000,000
Brampton	430	2,500,000
Timmins	0	500,000
	430	6,000,000
Campus Master Plan Reserve	0	1,750,000
Campus Master Plan - Tri Campus	150,140	21,000,000
IT Plan		
Student Information System/ERP	124,662	1,500,000
Other IT Initiatives	154,897	2,097,000
Innovation and Technology Plan	279,559	3,597,000
Facilities Renewal Program	236,616	1,500,000.00
Research	0	150,000.00
Ancillary Capital	0	100,000.00
Capital Contingency	0	500,000.00
Total Capital	666,316	26,847,000



Debt Review

OPEN AGENDA

Meeting Date: November 24, 2022
Action: Information

PREPARED BY:

Kramer Rousseau, Director Financial Services

PURPOSE OF REPORT

To provide an update on Algoma University's ("University") long term debt to the Risk and Finance Committee ("Committee") as at October 31, 2022.

RELATED DOCUMENTS

1. Debt Management Policy

STRATEGIC PRIORITY ALIGNMENT

5. Institutional Excellence: facilitate the ongoing improvement of the University by focusing on problem solving, teamwork, and leadership.

BACKGROUND

Per the Committee's Terms of Reference and work plan, the Committee will "monitor and examine the on-going financial performance of the University."

CURRENT STATUS

As at October 31, 2022,, the University's loans were as follows:

Loan	Rate	Maturity	October 31, 2022
TD GLC loan	1.40%	November 2025	\$1,733,330
TD CC Building	1.82%	March 2026	2,992,624
Long-term debt			\$4,725,954

Over the last three years, three prior loans were repaid in full, including a \$5M residence swap loan in 2021-22. These repayments, along with the continued growth of Algoma University, have resulted in the University's ability to take on a more significant amount of future debt while remaining in accordance with the Debt Management Policy.

The Debt Management Policy contains two compliance metrics and two monitoring metrics that are as follows:

Metric	Policy Requirement	Actual Ratio as at April 30, 2022
Compliance Metrics		
Debt Burden Ratio	Annual Principal and Interest / Total Operating Expenses - Amortization of Capital Assets + Annual Principal < 4.00%	0.70%



Viability Ratio	$\frac{(\text{Unrestricted Net Assets} + \text{Internally Restricted Net Assets} + \text{Internally Restricted Endowments})}{\text{Total University External Debt}} > 1.25$	7.33
Monitoring Metrics		
Unfunded Interest Affordability Ratio	$\frac{\text{Interest Expense (Funded by Operating Expense)}}{\text{Total Operating Expense}} < 3.00\%$	0.53%
Debt Service Coverage Ratio	$\frac{(\text{Surplus (Deficit)} + \text{Amortization} + \text{Interest})}{\text{Annual Debt Service Charge (Principal + Interest)}} > 2.5$	34.33

As at April 30, 2022, Algoma University could have held \$22M more in external debt and remained onside with the ratios in the Debt Management Policy.

With the budgeted surplus for this fiscal year, that amount grows to over \$25M.

FUTURE STATUS

Not applicable

ACTION

Not applicable

Debt Management Policy

Category:	Finance
Number:	FI9
Responsibility:	Finance Committee
Approval:	Board of Governors, March 31, 2021
Review:	Annually
Amendments:	Every 3 years or as circumstances warrant

Purpose

The purpose of the policy is:

- To ensure quality borrowing decisions in order to allow for the expansion of infrastructure to meet targeted growth rates of Algoma University (“University”);
- To monitor the impact of borrowing on the financial health of the University;
- To create opportunities to forecast future debt obligations based upon defined metrics;
- To define responsibilities for the approval of the external debt;
- To report on and provide guidelines for the limits of external capital debt incurred by the University.

Scope

The scope of the policy is to provide framework for all external and internal borrowing by the University in order to manage the overall risks to the University, as well as minimize external borrowing debt servicing costs.

Policy

Objective

The objective of this policy is to:

- Define a framework for all borrowing by the University.
- Establish metrics for the approval and management of debt.
- To provide guidelines for current and future external debt and strategic investments.
- To manage debt in a way that allows for temporary borrowings in case of unplanned cash flow requirements, such as a pandemic or significant economic downturns.

In any given year, the following ratios should act as guidelines as set out per the tolerance levels towards the decision of whether or not to incur additional capital debt. When reviewing the financial health of the University the assessment is based on a holistic and comprehensive approach since no single metric is sufficient.

The University should not obtain all its financing from one lender, to avoid undue influence of any one source.

The repayment term of borrowed funds shall not exceed the useful service life of the related capital asset.

Selection of fixed or floating rate debt shall be determined on the basis of a financial and interest rate risk analysis.

The University may only use external debt financing to meet the funding requirements of strategic plans that have been approved by the Board of Governors.

Establishment of Policy Metrics

The University has established guidelines regarding the optimal amount of outstanding debt through monitoring University-wide financial metrics. These metrics measure the University's Statement of Operations resources and annual cash flow. They can be derived from the University's financial statements and are subject to review periodically. Financial statements give historical actual and can aid in earnings before interest, taxes,

depreciation, and amortization (EBITDA) calculations, while the forecasts can help determine the one time expenditures and their impact.

Compliance Metrics

1) Debt Burden Ratio

This ratio is a measurement of the University's debt affordability as it calculates the percentage of operating expenses attributable to repaying current debt. The ratio determines the debt affordability and the proportion of the resources of the University used to support the annual cost of debt. The lower the percentage, the healthier the University is from a debt perspective.

Annual Principal and Interest / Total Operating Expenses - Amortization of Capital Assets + Annual Principal < 4.00%

2) Viability Ratio

This ratio is a measurement of the University's debt capacity and contributes to the review of the long-term health of the University's Statement of Financial Position. It measures the availability of net assets, both restricted and internally unrestricted, that are expendable in relation to outstanding external debt.

(Unrestricted Net Assets + Internally Restricted Net Assets + Internally Restricted Endowments) / Total University External Debt > 1.25

The threshold measures whether the financial resources (unrestricted and restricted) are at a minimum 25% higher than the total external debt. Net assets should have any deferred contributions as they represent available financial resources on hand.

Monitoring Metrics

Additional metrics used by the Finance Committee to provide the Board of Governors with a more complete understanding of the University's credit and financial health profile. These metrics are used by other Ontario universities and provide further insight into the financial health of the University.

1) Unfunded Interest Affordability Ratio

This ratio is a measurement of the University's affordability of interest as a measure of total operating expenditures. It ensures that the cumulative interest is within a reasonable threshold to ensure annual operations are not significantly impacted by unfunded interest.

$\text{Interest Expense (Funded by Operating Expense)} / \text{Total Operating Expense} < 3.00\%$

2) Debt Service Coverage Ratio

This ratio is a measurement of the University's ability to repay debt based on the earnings before amortization and interest. This ratio is used throughout many industries and allows the University to review their ability to leverage external debt.

$(\text{Surplus (Deficit)} + \text{Amortization} + \text{Interest}) / \text{Annual Debt Service Charge (Principal} + \text{Interest)} > 2.5$

There are other metrics used to review the financial profile of the University which are used by the university sector.. They can be used to compare the financial health of the University with universities based on minimum thresholds. These metrics are included in Appendix A.

When determining to enter into new debt, the various compliance and motoring metrics should comply with the set metrics for the projection years of one and two and follow the level of tolerance compliance for future years:

- Year three: -/+ 2.5%
- Year four: -/+ 5.0%
- Year five: -/+ 10.0%

Annual Debt Obligations

The Finance Committee will determine through the budget process where sources of

funding for principal and interest payments associated with the external debt. The University will source funding through operating funds, capital funds, ancillary funds, internal loans, donations and investment income.

The Finance Committee will also review the compliance with any external debt covenants or obligations of current or future debt and ensure the terms of the agreement are upheld.

Internal Loans

The use of internal loans for capital projects between University departments is another source of funding for external debt. This process is advantageous to the University as it allows for financial flexibility for future plans. Any internal loans are subject to approval of the Board of Governors, including amortization length and costs associated with the administration of the loan. Loans issued should not exceed \$500,000.

Interest Rate Swaps

Interest rate swaps can be utilized by the University with approval by the Board of Governors. The potential risk of the swap must be presented in order to determine the potential benefit for adverse effects of an unexpected change in market interest rates.

Policy Review

This policy will be reviewed annually to reflect the University's strategic plan. The Finance Committee shall oversee implementation of external debt activity during the annual review of the approved financial statements. The Finance Committee will also review any internal debt and the cash flow schedules associated with their repayment. This information will contribute to the budget formation for the multi-year financial strategy.

The Vice-President, Finance and Operations will report on the University's capital debt a minimum of once annually through the Finance Committee to the Board of Governors. The report shall include the current and projected debt levels, compliance with debt capacity guidelines and other relevant information.

Appendix A

The table below includes metrics which are standard across all Ontario universities and help compare financial health throughout the industry.

Ratio	Description	Calculation
Net Income/(Loss) Ratio	Measures how well a university manages expense relative to revenues.	Total Revenues Less Total Expenses over Total Revenue.
Net Operating Revenues	Indicates the extent to which universities are generating positive cash flow	Cash Flow from Operating Activities (from the statement of cash flows) over Total Revenues (from the statement of operations)
Primary Reserve Ratio	Measures how many days (theoretically) a university can function using only its un restricted financial resources. A liquidity measure that calculates the number of days university reserves can cover operating expenses	Expendable net assets / Total expenses multiplied by 365 days
Interest Burden Ratio	Percentage of total expenses used to cover a universities cost of serving debt.	Interest expense over total expenses (adjusted for depreciation)
Viability Ratio	Indicates the funds on hand that can be used should a university be required to settle its long term obligation.	Expendable Net Assets over Long Term Debt.



Responsibility Centered Management Update

OPEN AGENDA

Meeting Date: November 24, 2022
Action: Information

PREPARED BY:

Kramer Rousseau, Director Financial Services

PURPOSE OF REPORT

To provide the Risk and Finance Committee (“the Committee”) an update on the status of the Responsibility Centered Management (“RCM”) Budget Model and its implementation for the 2022-23 fiscal year.

RELATED DOCUMENTS

1. [Appendix A](#) - RCM 2022-23 Budget

STRATEGIC PRIORITY ALIGNMENT

5. Institutional Excellence: facilitate the ongoing improvement of the University by focusing on problem solving, teamwork, and leadership.

BACKGROUND

In April 2022, as part of the 2022-23 Budget Presentation, the RCM model was presented to the board which showed the budget divided by the then three academic faculties (Appendix A). The RCM model was prepared and rolled out in the budget for the 2022-23 fiscal year.

The model allocates revenues based on student enrolment at the course level and allocates direct expenses in order to run those courses. After evaluating the direct revenues less expenses, there is an additional allocation to cover centralized services which include facilities, IT infrastructure, Finance, People and Culture, Student success, etc. After the allocation of centralized and shared service costs, the remaining contribution from each Faculty will be allocated to three pools of funds in the following categories as follows:

- 1) Campus Master Planning, capital and strategic investments (60%)
- 2) Targeted Academic investment in Special Mission and Calls to Action (10%)
- 3) Amount set aside for Academic Faculties Strategic Planning and Priorities (30%)

These funds could then be applied for by the Faculties through an application process which would involve submitting a business case / formal proposal under each cost category to the Senior Executive team.

Next steps were defined as follows:

1. Finalize the model and application process for the formal proposals through
 - a. faculty consultations and
 - b. consultations with each of the new Faculty Academic Deans
2. Formalize and roll out the new procedures with the first application period beginning Spring/Summer 2023



CURRENT STATUS

Since the time the RCM budget was created, there have been some further developments:

1. A fourth faculty was created, the Faculty of Cross Cultural Studies. The revised RCM model will reflect the allocation between the four Faculties.
2. The multi-dean model and recruitment of three new academic deans has been underway. Two of the three deans have now started (effective end of October), with the third scheduled to start in February 2023.

Next Steps / Timelines

Action Item	Date Planned	Date Completed
Finalizing the analysis of the 2021-22 actual results through the model with the revised four faculties	In progress (Anticipated completion by Dec 2022)	
Prepare the initial 6 month budget and forecast (period ended October 31, 2022) using the model with the 2022-23 results to date.	In progress (anticipated completion by January 2023)	
Begin faculty consultations on model and procedures for accessing the pool of funds carried within the defined categories.	January through March, 2023	
Finalize and obtain approval for the process/procedures	March 2023	
Develop, document, and carry out training sessions on the process and procedures for applying for and accessing the pool of funds.	March / April 2023	
Full implementation of new model	End of Fiscal 2023	

The Finance team will continue to keep the Risk and Finance committee up to date on the progress of the faculty consultations and implementation of the RCM model.

ACTION

Not applicable

Responsibility Centered Management (RCM)

		1,010	1,106	409	2,525
		Faculty of the School of Business and Economics	Faculty of Science	Faculty of Humanities, Social Science	Total
Amounts in thousands					
Revenue					
Student tuition - domestic		1,525	2,469	1,930	5,923
Student tuition - international		14,621	13,354	1,560	29,535
Government grants		567	1,315	1,369	3,251
Lab and other student fees		-	40	3	43
Total Revenue		16,713	17,178	4,861	38,752
Expenses					
Salaries and benefits, Faculty (full and part time) and staff		3,861	6,405	4,625	14,890
International agent commissions		1,496	1,366	160	3,022
Academic department expenses (operating)		198	216	80	494
Total Expenses		5,554	7,988	4,864	18,406
		11,159	9,190	(4)	20,343
Centralized and shared services		8,369	6,893	-	15,262
Amount for allocation		2,790	2,298	(4)	5,084
Campus Master Planning, capital and strategic investments	60%	1,674	1,379	-	3,052
Strategic Investment in Academic Faculties		-	-	(354)	(354)
Targeted Academic investment in Special Mission and Calls to Action	10%	279	230	100	609
Amount set aside for Academic Faculties Strategic Planning and Priorities	30%	837	689	250	1,776

